1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| Command:          | Division:  | Number: |
|-------------------|------------|---------|
| Morongo Basin     | Inland     | 870     |
| Evaluated by:     | Date:      |         |
| Sergeant J. Arnsv | 01/05/2009 |         |
| Assisted by:      |            | Date:   |
|                   |            |         |

| INSTRUCTIONS: Answer individual items with "Yes" or "No" answer applicable legal statues, or deficiencies noted in the inspections shall discrepancies and/or deficiencies shall be documented on an Except Furthermore, the Exceptions Document shall include any follow-up and Inspection, the "Follow-up Inspection" box shall be marked and only of the state of | I be commentions Documed nd/or correct | nted on via to<br>ent and add<br>tive action(s | he "Remarl<br>ressed to tl<br>) taken.  If t | ks" section. A<br>he next level<br>this form is us | Additionally of comma | y, such<br>nd. |
|--|--|--|--|--|-----------------------|----------------|
| TYPE OF INSPECTION   | Lead Inspe                             | ector's Signatı                                | ıre:   |  |                       |                |
| ☐ Division Level ☐ Command Level   | 1 1                                    | Hynra  | lQ   |  |                       |                |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection   |  | //   |  |  |                       |                |
| Follow-up Required:  ☐ Yes ☐ No ☐ Follow-up Inspection   | Command                                | er's Signature                                 |  |  | Date:                 | งใ             |
| For applicable policy, refer to: HPM 11.2, Chapter 7   |  |  |  |  |                       |                |
| <ol> <li>Are participants in the procurement process at the<br/>command level familiar with the related policies and<br/>procedures for purchasing?</li> </ol>   | ⊠ Yes                                  | ☐ No   | □ N/A  | Remarks:   |                       |                |
| <ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>   | ⊠ Yes                                  | □No  | □ N/A  | Remarks:   |                       |                |
| <ol><li>Are prohibited items procured on CHP 43, Purchases<br/>Requisitions?</li></ol>   | ☐ Yes                                  | ⊠ No   | □ N/A  | Remarks:   |                       |                |
| <ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>  |  |  |  |  |                       |                |
| 4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?  | ⊠ Yes                                  | □No  | □ N/A  | Remarks:   |                       |                |
| 5. Is all required information entered on the CHP 43,<br>Purchase Requisition?   | ⊠ Yes                                  | ☐ No   | □ N/A  | Remarks:   |                       |                |
| <ol><li>Are the CHP 43, Purchase Requisitions, numbered<br/>consecutively, starting anew at the beginning of each<br/>fiscal year (July 1)?</li></ol>  | ⊠ Yes                                  | □No  | □ N/A  | Remarks:   |                       |                |
| 7. Are expedited requests for the purchase of goods<br>forwarded to the Assistant Commissioner, Staff, for<br>approval?  | ☐ Yes                                  | □No  | ⊠ N/A  | Remarks:Havexpedited record goods.                 |                       |                |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?  9. Are the CHP 43, Purchase Requisitions, competitively bid?  10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?  11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?  12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?  13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  14. Are items checked immediately for content and damage when delivered?  15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?  16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?  17. Is FMS provided a photocopy of the purchase order and sent to FMS?  18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  19. Are Damaged Items delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted? |     |  |       |      |       |  |
|--|-----|--|-------|------|-------|--|
| 2   2   2   2   2   2   2   2   2   2  | 8.  |  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?  | 9.  |  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?  12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?  13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  14. Are items checked immediately for content and damage when delivered?  15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?  17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?  18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver and complete shipment is received?   | 10. |  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| for items that interface with existing departmental equipment in compliance with SAM 3555.3?    13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?   14. Are items checked immediately for content and damage when delivered?   15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?   16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?   17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?   18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?   19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver  | 11. | that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM  | ☐ Yes | □ No | ⊠ N/A | Remarks:Only make purchases with a vendor or contract. |
| contain the NCB justification and NCB Corrective Action Plan documents?    Yes   | 12. | for items that interface with existing departmental  | ☐ Yes | □No  | ⊠ N/A | Remarks:Same as above                                  |
| damage when delivered?    Yes  | 13. | contain the NCB justification and NCB Corrective   | ☐ Yes | □No  | ⊠ N/A | Remarks: Same as above                                 |
| approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?  16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?  17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?  18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver   | 14. |  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| received copy of the purchase order and sent to FMS?  17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?  18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver    Yes   No   N/A   Remarks:   | 15. | approved, dated, and forwarded to the Fiscal<br>Management Section (FMS), Account Payable Unit,<br>within three business days of receipt, if all items are | ⊠ Yes | □No  | □ N/A | Remarks:   |
| and any approved freight or packing slips as acknowledgement that a portion of the order has been received?  18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver    Yes   No   N/A   Remarks:   | 16. | received copy of the purchase order and sent to  | ⊠ Yes | ☐ No | □ N/A | Remarks:   |
| command for completion and forwarding to the FMS when the complete shipment is received?  19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver  | 17. | and any approved freight or packing slips as acknowledgement that a portion of the order has   | ⊠ Yes | □ No | □ N/A | Remarks:   |
| acknowledged on the freight bill by the carrier's driver  Yes  No  N/A Remarks:  |     | command for completion and forwarding to the FMS when the complete shipment is received?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
|  | 19. | acknowledged on the freight bill by the carrier's driver   | ⊠ Yes | □ No | □ N/A | Remarks:   |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 20. Is Purchasing Services Unit (PSU) notified<br>immediately by telephone, followed in writing either<br>by a memorandum or e-mail, requesting cancellation<br>of the requisition or deletion of an item, if it is<br>determined that a commodity requested on a CHP 43<br>is no longer needed and a purchase order has not<br>yet been prepared? | ⊠ Yes | □ No | □ N/A | Remarks: |
|--|-------|------|-------|----------|
| <ol> <li>Are open purchase orders periodically reviewed and<br/>investigated to ensure the orders are not opened for<br/>an unreasonable length of time. (SAM 8422.0)</li> </ol>   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 22. Are copies of the purchase requisitions and purchase<br>orders maintained for three years after payment?<br>(SCM Vol. II, Ch. 11, Topic 4)   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 23. Are decisions documented to create a paper trail<br>documenting the basis of the decisions made for the<br>purchase? (SCM Vol II Ch. 2, Topic 11)  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?   | ☐ Yes | ⊠ No | □ N/A | Remarks: |

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:                            | Division: | Chapter:          |  |
|-------------------------------------|-----------|-------------------|--|
| Morongo Basin                       | Inland    | 3                 |  |
| Inspected by:<br>J. Arnswald, 11974 | <u>.</u>  | Date:<br>01/05/09 |  |

| number of the inspection in the Chapt shall be routed to and its due date. The                                     | er Inspection number. Under "Fo<br>his document shall be utilized to | orward to:" enter the next level of command when document innovative practices, suggestions for set used to appeal findings. A CHP 51 Memorar | re the document<br>statewide |  |  |  |
|--|--|---|------------------------------|--|--|--|
| TYPE OF INSPECTION   |  | ☐ Corrective Action Plan Included   |                              |  |  |  |
| ☐ Division Level   ○ Command Level   |  | Appeal Included   |                              |  |  |  |
| Executive Office Level   |  | Attachments Included  |                              |  |  |  |
| Follow-up Required:  | Forward to:  | Commander's Signature:  | Date:                        |  |  |  |
| ☐ Yes  | Due Date:  | 1.1.5   | 1/5/09                       |  |  |  |
| Chapter Inspection:  | (P. 1950) (P. 1957) (P. 1957)  |   |                              |  |  |  |
| Inspector's Comments Rega  | rding Innovative Practice  | es:   |                              |  |  |  |
| The Area utilized standard practices as they apply to this Chapter Inspection. No innovative practices were noted. |  |   |                              |  |  |  |
| Command Suggestions for S  | Statewide Improvement:   |   |                              |  |  |  |
| No suggestions for Statewide   | e improvement were obt   | ained.  |                              |  |  |  |
| Inspector's Findings:  |  |   |                              |  |  |  |
| mopocior o i mungo.  |  |   |                              |  |  |  |

This Chapter Inspection revealed Morongo Basin Area conducts and documents Command Procurements/Purchases within policy.

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

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| Command: Division: Morongo Basin Inland |  | Chapter: C     |  |  |  |
|---|--|----------------|--|--|--|
| Inspected by:<br>J. Arnswald, 11974     |  | Date: 01/05/09 |  |  |  |

| Appeal Process: (Appeals shall be filed within five (5) business days of the complete | ed chapter inspection). |
|---|-------------------------|
| Commander's Basis for Appeal:   |                         |
|   |                         |
|   |                         |
|   |                         |
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|   |                         |
|   |                         |
| Appeal Review/Decision: (This shall be the only level of appeal).                     |                         |
|   |                         |
|   |                         |
|   |                         |
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|   |                         |

| Lead Inspector's Signature:                    | Date:  |
|--|--------|
| Morale   | 1-5-09 |
| Responding/Commander's Signature (for appeal): | Date:  |

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command:<br>Morongo Basin           |                   |       |  |
|-------------------------------------|-------------------|-------|--|
| Evaluated by:<br>Sergeant J. Arnswa | Date:<br>01/05/09 |       |  |
| Assisted by:                        |                   | Date: |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF  | INSPECTION   | <del></del>                                     | Lead Inspe | ctor's Signatu | иe:   |  |
|----------|--|---|------------|----------------|-------|--|
| ☐ Divisi | ion Level  | ☐ Command Level                                 | acol       | himill         | -     |  |
| ☐ Exec   | cutive Office Level  | Voluntary Self-Inspection                       |            |                |       |  |
|          | low-up Required:<br>Yes ⊠ No   | ☐ Follow-up Inspection                          | Command    | er's Signature |       | Date:  |
|          | olicable policy, refer to:   | HPM 11.2, Chapter 3                             | 1.11       |                |       |  |
| (        | Card program completing<br>Interest Statement, Emplo   | yee, form?                                      | ⊠ Yes      | □No            | □ N/A | Remarks:   |
|          | Are STD. 21 Drug Free W maintained within the Cal each vendor utilized?                      |   | ⊠ Yes      | □No            | □ N/A | Remarks:   |
| i        | Are STD. 204 Payee Data in the Cal Card command utilized?                                    | Record forms maintained file for each vendor    | ⊠ Yes      | □No            | □ N/A | Remarks:   |
| 1        | Are California Integrated V<br>Form 74 documents maint<br>utilized?                          | Vaste Management Board<br>ained for each vendor | ☐ Yes      | □No            | ⊠ N/A | Remarks:This document would be retained at HQ due to state contract for paper purchases. |
| i        | If the vendor is a small bus<br>is the certification letter fro<br>General Services maintain |   | ⊠ Yes      | □No            | □ N/A | Remarks:   |
| r        | When fair and reasonable reasonable method docum justified?                                  |   | ⊠ Yes      | □No            | ⊠ N/A | Remarks:Not utilized.  |
| t        | to circumvent transaction p  |   | ☐ Yes      | ⊠ No           | □ N/A | Remarks:   |
| ţ        | Does the CHP 317 Cal Ca<br>purchase?   |   | ⊠ Yes      | □No            | □ N/A | Remarks:   |
|          | Are bank statements recor<br>Cal Card Log and the rece                                       |   | ⊠ Yes      | □No            | □ N/A | Remarks:   |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10  | . Is the CHP 317 Cal Card Log properly authorized and maintained?   | ⊠ Yes | □ No | □ N/A | Remarks: |
|-----|---|-------|------|-------|----------|
| 11. | . Are credit invoices/receipts for returned items maintained with the bank statement?   | ⊠ Yes | □ No | □ N/A | Remarks: |
| 12. | Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement. | ⊠ Yes | □ No | □ N/A | Remarks: |
| 13. | . Are Cal Cards maintained in a secure area?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 14. | Are Cal Card purchases pre-approved by the commander?   | ⊠ Yes | ☐ No | ⊡ N/A | Remarks: |
| 15. | Have all cardholders received training on the Department's procurement processes?   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 16. | Are item(s) purchased with the Cal Card prohibited by departmental policy?  | ☐ Yes | ⊠ No | □ N/A | Remarks: |

#### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:                           | Division:        | Chapter:          |  |
|------------------------------------|------------------|-------------------|--|
| Morongo Basin                      | Inland           | 3                 |  |
| Inspected by:<br>Sergeant J. Arnsw | DO NO DO DOSCOSO | Date:<br>01/05/09 |  |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required.  |                           |  |              |
|--|---------------------------|--|--------------|
| TYPE OF INSPECTION  ☐ Division Level ☐ Command ☐  ☐ Executive Office Level | Level                     | <ul><li>☐ Corrective Action Plan Included</li><li>☐ Appeal Included</li><li>☐ Attachments Included</li></ul> |              |
| Follow-up Required:  | Forward to:               | Commander's Signature:   | Date:        |
| ☐ Yes ☐ No   | Due Date:                 | 7.75   | 1509         |
| Chapter Inspection:  |                           |  |              |
| Inspector's Comments Rega  | rding Innovative Practice | es:  |              |
| practices were noted.  |                           | ey apply this Chapter Inspection. N  | o innovative |
| Command Suggestions for S  | tatewide Improvement:     |  |              |
| No suggestions for Statewide   | e improvement were obta   | nined.   | W            |
|  |                           |  |              |

This Chapter Inspection revealed Morongo Basin Area conducts and documents Command Procurements within policy.

Inspector's Findings:

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command: Division: Chapter: Cc
Morongo Basin Inland 3
Inspected by: Date: O1/05/09

| Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection). |
|---|
| Commander's Basis for Appeal:   |
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|   |
| Appeal Review/Decision: (This shall be the only level of appeal).   |
|   |

| Lead Inspector's Signature:                    | Date: 1-5-03 |
|--|--------------|
| Responding Commander's Signature (for appeal): | Date:        |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command:<br>Morongo Basin          | Division:<br>Inland | Number:<br>870 |  |
|------------------------------------|---------------------|----------------|--|
| Evaluated by:<br>Sergeant J. Arnsv | vald, 11974         | Date: 01/05/09 |  |
| Assisted by:                       | -                   | Date:          |  |

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ☐ Command Level ☐ Division Level Executive Office Level Commander's Signature: Follow-up Inspection Follow-up Required: ⊠ No ☐ Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: X Yes □No □ N/A service contracts which are repetitive, regardless of the estimated dollar value? 2. Is a CHP 78 Contract Request used for one-time Remarks: ⊠ N/A □ No services exceeding \$4,999.99? ☐ Yes Is the Office of Primary Interest (OPI) tracking Remarks: All contracts originate at ⊠ N/A numbering beginning with the requesting command ☐ Yes ☐ No three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? Is the performance of contract services monitored Remarks: □ N/A ✓ Yes □ No and documented? Are all copies of correspondence with the vendor Remarks: X Yes ☐ No □ N/A maintained? Are letters for contracts documented and maintained Remarks: □ N/A which outline any problems related to substandard or ✓ Yes □ No non-performance of the vendor? Is the final product to be delivered described Remarks: ΠNο  $\square$  N/A specifically and in as much detail as possible in the ⊠ Yes CHP 78? Are all required levels of approval/signature obtained, Remarks: ⊠ N/A ☐ No including the required documentation and approvals ☐ Yes for expedite and emergency contracts per HPM 11.1. Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 9.  | Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?   | ☐ Yes | □ No | ⊠ N/A | Remarks: |
|-----|--|-------|------|-------|----------|
| 10  | . Is all work completed and accepted by the Department before expiration of contract agreement?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 11  | Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?  | ⊠ Yes | □ No | □ N/A | Remarks: |
| 12. | Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 13. | Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 14. | Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 15. | Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 16. | Are all applicable form sections of the CHP 78 completed?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 17. | Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 18. | Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ⊠ Yes | □ No | □ N/A | Remarks: |
| 19. | Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 20. | Are contract amendment request dollar amounts increased more than 30%?   | □Yes  | П№   | ⊠ N/A | Remarks: |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 21. Is the length of the contract amendment request more than one year?   | ☐ Yes | □ No | ⊠ N/A | Remarks:   |
|---|-------|------|-------|--|
| Are amendments requested before the expiration of the original contract?  | ☐ Yes | □No  | ⊠ N/A | Remarks:   |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?   | ☐ Yes | □ No | ⊠ N/A | Remarks:   |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?   | ☐ Yes | □ No | ⊠ N/A | Remarks:   |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services  | ☐ Yes | □No  | ⊠ N/A | Remarks:None of the services apply.  |
| 26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | ☐ Yes | □ No | ⊠ N/A | Remarks:None of the personnel listed have been utilized for 30 days or longer. |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 27. | Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | ☐ Yes | □ No | ⊠ N/A | Remarks: |
|-----|---|-------|------|-------|----------|
| 28. | Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 29. | Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?   | ⊠ Yes | □No  | □ N/A | Remarks: |
|     | Is a log sheet maintained for a diary of activities related to the contract?  | ☐ Yes | ⊠ No | □ N/A | Remarks: |
| 31. | Is a computer file prepared for all contracts administered?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 32. | Is a spreadsheet prepared listing all expenditures?   | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 33. | Is the notification to the contractor documented for the start date for services to begin?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 34. | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 35. | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 36. | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 37. | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ⊠ Yes | □ No | □ N/A | Remarks: |
| 38. | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 39. | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)   | ☐ Yes | ⊠ No | □ N/A | Remarks: |

#### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:<br>Morongo Basin          | Division:<br>Inland | Chapter:          |
|------------------------------------|---------------------|-------------------|
| Inspected by:<br>Sergeant J. Arnsv | vald, 11974         | Date:<br>01/05/09 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required.   |                           |                                   |        |  |  |
|---|---------------------------|-----------------------------------|--------|--|--|
| TYPE OF INSPECTION  |                           | ☐ Corrective Action Plan Included |        |  |  |
| ☐ Division Level   ○ Command Level  |                           | ☐ Appeal Included                 |        |  |  |
| ☐ Executive Office Level  |                           | Attachments Included              |        |  |  |
| Follow-up Required:   | Forward to:               | Commander's Signature:            | Date:  |  |  |
| ☐ Yes   | Due Date:                 | 115                               | 1-5-09 |  |  |
| Chapter Inspection:   |                           |                                   |        |  |  |
| Inspector's Comments Regar  | rding Innovative Practice | S:                                |        |  |  |
| Morongo Basin Area utilized standard practices as they apply this Chapter Inspection. No innovative practices were noted. |                           |                                   |        |  |  |
| Command Suggestions for S   | tatewide Improvement:     |                                   |        |  |  |
|   |                           |                                   |        |  |  |

This Chapter Inspection revealed Morongo Basin Area conducts and documents Command Procurements/Contracts within policy.

Inspector's Findings:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Pad | e | 3 |
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| Command:<br>Morongo Basin          | Division:<br>Inland | Chapter:          | Co |
|------------------------------------|---------------------|-------------------|----|
| Inspected by:<br>Sergeant J. Arnsv | vald, 11974         | Date:<br>01/05/09 |    |

| Appeal Process: (Appeals shall be filed within f | ive (5) business days | of the completed chapter | inspection). |
|--|-----------------------|--------------------------|--------------|
| Commander's Basis for Appeal:                    |                       |                          |              |
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| Anneal Deview/Decisions (77)                     |                       |                          |              |
| Appeal Review/Decision: (This shall be the on    | ily level of appeal). |                          |              |

| Lead Inspector's Signature:                    | Date: |
|--|-------|
| Responding Commander's Signature (for appeal): | Date: |

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command:<br>Morongo Basin                  | Division:<br>Inland | Number:<br>870   |
|--|---------------------|------------------|
| Evaluated by:<br>Sergeant B. Green, #10311 |                     | Date: 01/05/2009 |
| Assisted by:                               |                     | Date:            |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE O   | FINSPECTION   | Lead Inspector's Signature: |                |       |   |  |
|--|---|-----------------------------|----------------|-------|---|--|
| ☐ Division Level ☐ Command Level                     |   |                             | 10 W 1         |       |   |  |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection |   |                             | 1911h          |       |   |  |
| Fo   | llow-up Required: ☐ Follow-up Inspection  Yes ☐ No  | Commande                    | y's Signature: |       | Date:   |  |
| For ap   | oplicable policy, refer to: HPM 11.1, Chapter 23  |                             |                |       |   |  |
| 1.   | Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?   | ☐ Yes                       | ⊠ No           | □ N/A | Remarks:  |  |
| 2.   | Does all X Number file documentation contain the STD. 204 Payee Data Record?  | ⊠ Yes                       | ☐ No           | □ N/A | Remarks:  |  |
| 3.   | Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?                 | ☐ Yes                       | □No            | ⊠ N/A | Remarks: Do not use X-numbers because we have a janitor and landscape contract on file. |  |
| 4.   | Are X Number requests made prior to the date the services are performed?  | ⊠ Yes                       | □ No           | □ N/A | Remarks:  |  |
| 5.   | Are X Numbers issued for a one-time use?  | ⊠ Yes                       | ☐ No           | □ N/A | Remarks:  |  |
| 6.   | Are prohibited services performed using an X Number?  | ☐ Yes                       | ⊠ No           | □ N/A | Remarks:  |  |
| 7.   | Are X Numbers used for the procurement of a service and not the purchase of a commodity?  | ⊠ Yes                       | □ No           | □ N/A | Remarks:  |  |
| 8.   | Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?  | ⊠ Yes                       | □No            | □ N/A | Remarks:  |  |
| 9.   | Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? | ⊠ Yes                       | □No            | □ N/A | Remarks:  |  |
| 10.  | Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?                                  | ⊠ Yes                       | □ No           | □ N/A | Remarks:  |  |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| 11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ⊠ Yes | □ No | □ N/A | Remarks: |
|---|-------|------|-------|----------|
| 12. Do all X Numbers awarded to a small business<br>vendor contain the small business certification from<br>the Department of General Services (DGS)? | ⊠ Yes | □No  | □ N/A | Remarks: |
| 13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?   | ⊠ Yes | □ No | □ N/A | Remarks: |
| 14. Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 15. Is the itemized invoice for each X Number service maintained in the command's files?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:                  | Division: | Chapter:   | ٦ |
|---------------------------|-----------|------------|---|
| Morongo Basin             | Inland    | 3          |   |
| Inspected by:             |           | Date:      |   |
| Sergeant B. Green, #10311 |           | 01/05/2009 |   |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required.   | orrective action plans, and may | be used to appear initialities. A OTIF ST Memoral   |                |  |
|---|---------------------------------|---|----------------|--|
| TYPE OF INSPECTION  ☐ Division Level ☐ Command Level ☐ Executive Office Level  Follow-up Required: ☐ Yes ☐ No ☐ Due Date: |                                 | ☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included Commander's Signature: ☐ Date: |                |  |
| Chapter Inspection: Inspector's Comments Regard   |                                 |   |                |  |
|   |                                 | this Chapter Inspection. No innova  | tive practices |  |
|   |                                 |   |                |  |
| Command Suggestions for Statewide Improvement:  |                                 |   |                |  |
| No suggestions for Statewide  | e improvement were obta         | ained.  |                |  |
|   |                                 |   |                |  |

This Chapter Inspection revealed that the Morongo Basin Area conducts and documents Command Procurements/X-Number Program within policy. A physical inspection of a sample of records kept on file verified that all were within policy and contained required/relevant information.

Inspector's Findings:

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Page 3

| Command:        | Division:  | Chapter:   |
|-----------------|------------|------------|
| Morongo Basin   | Inland     | 3          |
| Inspected by:   |            | Date:      |
| Sergeant B. Gre | en, #10311 | 01/05/2009 |

| Appeal Process: (Appeals shall be filed within five (5) business da | ys of the completed chapter inspection). |
|---|--|
| Commander's Basis for Appeal:                                       |  |
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| Appeal Review/Decision: (This shall be the only level of appeal).   |  |
| Appear iteview/Decision. (This shall be the only level of appear).  |  |
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|   |  |
| Lead Inspector's Signature:   | Date: 1-5-09                             |
| Responding Commander's Signature (for appeal):                      | Date:                                    |
|   |  |
|   |  |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| Command:<br>Arrowhead Area         | Division:<br>Inland | Number:<br>865      |
|------------------------------------|---------------------|---------------------|
| Evaluated by:<br>Lt. R. Sanders    |                     | Date:<br>01-06-2009 |
| Assisted by:<br>D. Biggs & P. Ross |                     | Date:<br>01-06-2009 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Command Level ☐ Division Level ☐ Executive Office Level Commander's Signature: Follow-up Required: Follow-up Inspection ⊠ No ☐ Yes For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: □ N/A □ No command level familiar with the related policies and procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: ✓ Yes ☐ No □ N/A procurement training? 3. Are prohibited items procured on CHP 43, Purchases Remarks: ☐ Yes ⊠ No □ N/A Requisitions? Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: □ No N/A prepared for commodity items obtainable from Yes different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: ☐ No □ N/A Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: ⊠ Yes □ No □ N/A consecutively, starting anew at the beginning of each fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: forwarded to the Assistant Commissioner, Staff, for ☐ Yes ☐ No ⊠ N/A approval? Do specialized items purchased contain the Remarks: X Yes □ N/A appropriate Division, and/or OPI approvals? ☐ No

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

|     |   |       |      | Lieu- |                       |
|-----|---|-------|------|-------|-----------------------|
|     |   |       |      |       |                       |
| 9.  | Are the CHP 43, Purchase Requisitions, competitively bid?   | ⊠ Yes | □No  | □ N/A | Remarks:              |
| 10  | Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?   | ⊠ Yes | □No  | □ N/A | Remarks:              |
| 11  | Are Limited Competitive Bidding purchase requests<br>that limit or restrict the purchase to one specific<br>brand or model justified and in compliance with SAM<br>3555?                                    | ☐ Yes | □ No | ⊠ N/A | Remarks:              |
| 12  | . Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks:              |
| 13  | Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks: Not allowed. |
| 14  | Are items checked immediately for content and damage when delivered?  | ⊠ Yes | □No  | □ N/A | Remarks:              |
| 15. | Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted? | ⊠ Yes | □No  | □ N/A | Remarks:              |
| 16. | Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?   | ⊠ Yes | □No  | □ N/A | Remarks:              |
|     | Is FMS provided a photocopy of the purchase order<br>and any approved freight or packing slips as<br>acknowledgement that a portion of the order has<br>been received?                                      | ⊠ Yes | □No  | □ N/A | Remarks:              |
| 18. | Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  | ⊠ Yes | □ No | □ N/A | Remarks:              |
| 19. | Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?  | ☐ Yes | □No  | ⊠ N/A | Remarks:              |
| 20. | Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either   | □Yes  | П No | ⊠ N/A | Remarks:              |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

|     | by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared? |       |      |       |  |
|-----|--|-------|------|-------|--|
| 21. | Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)   | ⊠ Yes | □No  | □ N/A | Remarks: PDR books. Phyllis Ross followed up with Rosetta Morales. |
| 22. | Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)   | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 23. | Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 24. | Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)   | ☐ Yes | ⊠ No | □ N/A | Remarks:   |

Purchase Requisitions were reviewed and found to be processed correctly.

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:<br>Arrowhead Area   | Division:<br>Inland | Chapter: 3          |
|------------------------------|---------------------|---------------------|
| Inspected by:<br>Lt. Sanders |                     | Date:<br>01-06-2009 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required.   |                                  |                |                              |  |  |  |
|---|----------------------------------|----------------|------------------------------|--|--|--|
| TYPE OF INSPECTION  |                                  | ☐ Correct      | ive Action Plan Included     |  |  |  |
| ☐ Division Level ☐ Command L  | evel                             | ☐ Appeal       | Included                     |  |  |  |
| Executive Office Level  |                                  | ☐ Attachm      | nents Included               |  |  |  |
| Follow-up Required:   | Forward to:<br>Inland Division   | Commande       | r's Signature:               | Date:  |  |  |
| ☐ Yes   | <u> </u>                         |                | anada                        | 01-08-2009   |  |  |
|   | Due Date: <u>12/15/2008</u>      | ×. ~           | 2                            | NOVE VANDE OF THE PARTY OF THE  |  |  |
| Chapter Inspection: Chapter   | 3 Command Procureme              | nt Contract    | s-Purchases                  |  |  |  |
| Inspector's Comments Regar  | ding Innovative Practice         | es:            |                              |  |  |  |
| (none)  |                                  |                |                              |  |  |  |
| Command Suggestions for St  | tatewide Improvement:            |                |                              |  |  |  |
| (none) Inspector's Findings:  |                                  |                |                              |  |  |  |
| #21 Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time? Yes PDR books Phyllis contacted Rosetta Morales and cancelled order that was not received. Additionally, ATII Biggs contacted contracts management regarding a mower that was never procured. |                                  |                |                              |  |  |  |
| All purchases appear to be wi   | ithin policy.                    |                |                              | NAMES OF THE OWNER OWNE |  |  |
| Appeal Process: (Appeals shall  | be filed within five (5) busines | ss days of the | completed chapter inspection |  |  |  |
| Commander's Basis for Appe  | ilia:                            |                |                              |  |  |  |
|   |                                  |                |                              |  |  |  |
| Appeal Review/Decision: (Thi  | s shall be the only level of app | peal).         |                              |  |  |  |
| Lead Inspector's Signature:  MOVE Responding Commander's Signature (for applications)   | peal):                           |                | Date: 1 - 8 - 09 Date:       |  |  |  |
|   |                                  |                |                              |  |  |  |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

| Command:<br>Inland Division     | Division:<br>Inland | Number:<br>865   |
|---------------------------------|---------------------|------------------|
| Evaluated by:<br>Lt. R. Sanders |                     | Date: 01-06-2009 |
| Assisted by: P. Ross/D. Biggs   |                     | Date: 01-06-2009 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level Command Level Commander's Signature: ☐ Executive Office Level Date: Follow-up Inspection Follow-up Required: 01-08-2009\* Yes ⊠ No For applicable policy, refer to: HPM 11.2, Chapter 3 1. Are all employees associated with the use of the Cal-Remarks: Completed 1-7-09  $\square$  N/A Card program completing the CHP 78S, Conflict of ⊠ Yes No Interest Statement, Employee, form? 2. Are STD. 21 Drug Free Workplace certifications Remarks: X Yes □ No □ N/A maintained within the Cal Card command file for each vendor utilized? Are STD. 204 Payee Data Record forms maintained Remarks □ N/A in the Cal Card command file for each vendor ✓ Yes ☐ No utilized? 4. Are California Integrated Waste Management Board Remarks: □ N/A ⊠ Yes ☐ No Form 74 documents maintained for each vendor utilized? If the vendor is a small business or DVBE is utilized, Remarks: ⊠ Yes □ No □ N/A is the certification letter from the Department of General Services maintained in the file? When fair and reasonable is utilized, is the fair and Remarks: ∏ No □ N/A ✓ Yes reasonable method documented and properly iustified? 7. Are purchases split into multiple transactions in order Remarks: □ N/A to circumvent transaction purchase limits? ☐ Yes ⊠ No 8. Does the CHP 317 Cal Card Log fully describe the Remarks: □No □ N/A purchase? ⊠ Yes Are bank statements reconciled with the CHP 317 Remarks: Cal Card Log and the receipts/invoices? Yes □No  $\square$  N/A

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10. Is the CHP 317 Cal Card Log properly authorized and maintained?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
|--|-------|------|-------|---|
| Are credit invoices/receipts for returned items maintained with the bank statement?  | ⊠ Yes | ☐ No | □ N/A | Remarks:  |
| 12. Do non-itemized purchase receipts/invoices<br>document the purchase by listing the commodity,<br>quantity, and unit price of the item(s) purchased on<br>the bank statement. | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 13. Are Cal Cards maintained in a secure area?   | ⊠ Yes | ☐ No | □ N/A | Remarks:  |
| 14. Are Cal Card purchases pre-approved by the commander?  | ⊠ Yes | □No  | □ N/A | Remarks: Pre-approval provided in person, by phone, or e-mail and signed as soon as possible by Commander or Alt. |
| 15. Have all cardholders received training on the<br>Department's procurement processes?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 16. Are item(s) purchased with the Cal Card prohibited by departmental policy?   | ☐ Yes | ⊠ No | □ N/A | Remarks:  |

#### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:<br>Arrowhead Area   | Division:<br>Inland | Chapter: 3       |
|------------------------------|---------------------|------------------|
| Inspected by:<br>Lt. Sanders |                     | Date: 01-06-2009 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required.                                  | Trective action plans, and may   | be used to app | ear indings. A CHF 31 Wellion  | —————————————————————————————————————— |
|--|----------------------------------|----------------|--|--|
| TYPE OF INSPECTION   |                                  | ☐ Correcti     | ive Action Plan Included   |  |
| ☐ Division Level ☐ Command L                                   | Appeal Included                  |                |  |  |
| ☐ Executive Office Level                                       |                                  |                | nents Included   |  |
| Follow-up Required:  | Forward to:<br>Inland Division   | <u> </u>       | r's Signature:   | Date:                                  |
| ☐ Yes  | <u> </u>                         |                |  | 01-08-2009                             |
|  | Due Date: 12/15/2008             | 2XL            | Sanders  |  |
| Chapter Inspection: CAL  | CARD                             |                |  |  |
| Inspector's Comments Regar                                     | ding Innovative Practice         | es:            | THE STATE OF THE S |  |
| (none)   |                                  |                |  |  |
| Command Suggestions for St                                     | tatewide Improvement:            |                |  |  |
| (none)   |                                  |                |  |  |
| Inspector's Findings:  |                                  |                |  |  |
| #1: Are all employees associa<br>of Interest Statement, Employ |                                  | •              | •  | CHP 78S Conflict                       |
| Appeal Process: (Appeals shall                                 | be filed within five (5) busine  | ss days of the | completed chapter inspecti   | on).                                   |
| Commander's Basis for Appe                                     | al:                              |                | There are many seed and  |  |
|  |                                  |                |  |  |
| Appeal Review/Decision: (Thi                                   | s shall be the only level of app | peal).         |  |  |
|  |                                  |                |  |  |
| Lead Inspector's Signature:                                    | 201700 1111                      |                | Date:  |  |
| Responding Commander's Signature (for app                      | peal):                           |                | 1-8-09<br>Date:  |  |
|  |                                  |                |  |  |

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command: Arrowhead Area            | Division:<br>Inland | Number:<br>865   |
|------------------------------------|---------------------|------------------|
| Evaluated by:<br>Lt. R. L. Sanders |                     | Date: 01/06/2009 |
| Assisted by:<br>OSI Phyllis Ross   |                     | Date: 01/06/2009 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION   | Lead Inspe | ctor's Signatu  | ге:        |             |                           |
|--|------------|-----------------|------------|-------------|---------------------------|
| ☐ Division Level ☐ Command Level   | _          |                 |            |             |                           |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection   | a.L        | Sandi           | <b>1</b> 5 |             |                           |
| Follow-up Required:  | Commande   | er's Signature: |            |             | Date: 1-6.09              |
| ☐ Yes ⊠ No   | 8L         | Sande           | h          |             | 1-6.0(                    |
| For applicable policy, refer to: HPM 11.1, Chapter 23  |            |                 |            |             |                           |
| <ol> <li>Are multiple X Numbers awarded to the same vendor<br/>to circumvent the \$4,999 contract limit?</li> </ol>  | ☐ Yes      | ⊠ No            | □ N/A      | Remarks:    |                           |
| Does all X Number file documentation contain the STD. 204 Payee Data Record?   | ⊠ Yes      | □No             | □ N/A      | Remarks: Ne | ew vendors supplied only. |
| 3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?                       | ☐ Yes      | □No             | ⊠ N/A      | Remarks:    |                           |
| 4. Are X Number requests made prior to the date the services are performed?  | ⊠ Yes      | ☐ No            | □ N/A      | Remarks:    |                           |
| 5. Are X Numbers issued for a one-time use?  | ⊠ Yes      | □No             | □ N/A      | Remarks:    |                           |
| 6. Are prohibited services performed using an X<br>Number?   | ☐ Yes      | ⊠ No            | □ N/A      | Remarks:    |                           |
| 7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?  | ⊠ Yes      | ☐ No            | □ N/A      | Remarks:    |                           |
| Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?   | ☐ Yes      | □No             | ⊠ N/A      | Remarks:.   |                           |
| 9. Do X Numbers used for facilities related services<br>(such as roof repair, electrical) costing over \$1,000<br>have prior approval from Facilities Section? | ⊠ Yes      | ☐ No            | □ N/A      | Remarks:    | PLUMBING                  |
| Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?   | ☐ Yes      | □No             | ⊠ N/A      | Remarks:    |                           |

#### **COMMAND INSPECTION PROGRAM**

INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| 11. | Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ☐ Yes | ⊠ No | □ N/A | Remarks: insufficient vendors available or willing to respond to area.            |
|-----|---|-------|------|-------|---|
| 12. | Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)? | ☐ Yes | ⊠ No | □ N/A | Remarks: one small business vendor used. However, no certification form attached. |
| 13. | Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?                                     | ⊠ Yes | □No  | □ N/A | Remarks: If a copy is received, yes.  |
| 14. | Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | □ No | □ N/A | Remarks: emergency plumbing water leaks.  |
| 15. | Is the itemized invoice for each X Number service maintained in the command's files?  | ⊠ Yes | ☐ No | □ N/A | Remarks:  |

All X numbers for 07/08 and 08/09 were reviewed and followed policy:

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Arrowhead Area   | Division:<br>Inland | Chapter: 3          |
|------------------------------|---------------------|---------------------|
| Inspected by:<br>Lt. Sanders |                     | Date:<br>01-06-2009 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| TYPE OF INSPECTION               |  | ☐ Corrective Action Plan Included |                |  |  |  |
|----------------------------------|--|-----------------------------------|----------------|--|--|--|
| ☐ Division Level ☐ Command Level |  | Appeal Included                   |                |  |  |  |
| ☐ Executive Office Level         |  | ☐ Attachments Included            |                |  |  |  |
| Follow-up Required:              | Forward to: Inland Division                    | Commander's Signature:            | Date:          |  |  |  |
| ☐ Yes                            | 2  | 2) Sanda                          | 01-08-2009     |  |  |  |
|                                  | Due Date: <u>12/15/2008</u>                    | ( ) Canan                         |                |  |  |  |
| Chapter Inspection: Chapter      | 3 Command Procureme                            | nt Contracts-X-Numbers            | Tentalis to 12 |  |  |  |
| Inspector's Comments Regar       | rding Innovative Practice                      | es:                               |                |  |  |  |
| (none)                           |  |                                   |                |  |  |  |
| Command Suggestions for S        | Command Suggestions for Statewide Improvement: |                                   |                |  |  |  |
| (none)                           |  |                                   |                |  |  |  |
| Inspector's Findings:            |  |                                   |                |  |  |  |

#11 Do all X Numbers awarded to a small business vendor contain three price quotations? No. When other vendors refused to respond to area, their names/companies were not documented. Area will correct in the future.

#12 Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)? No. Some small business certificates not attached to file. Area will institute corrective measures for future services.

All purchases appear to be within policy.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

| Command:      | Division: | Chapter: |  |
|---------------|-----------|----------|--|
| Inspected by: |           | Date:    |  |

| rage 2   |  |
|--|--|
| Commander's Response:  |  |
| Area will document the names of businesses who refuse to bid include them with the awarded bid.                        | or fail to provide a price quotation and   |
| Area will insure small business vendors used provide an appropriand maintained in area file prior to forwarding to HQ. | oriate certification and it will be copied |
| Inspector's Comments:  |  |
|  |  |
|  |  |
| Required Action  |  |
| Corrective Action Plan/Timeline  |  |
| These corrections will immediately be implemented.   |  |
| Appeal Process: (Appeals shall be filed within five (5) business days of the   | e completed chanter inspection)            |
|  | e completed chapter inspection).           |
| Commander's Basis for Appeal:  |  |
| Appeal Review/Decision: (This shall be the only level of appeal).  |  |
|  |  |
| Lead Inspector's Signature   | Date:                                      |
| Responding Commander's Signature (for appeal):   | \ -\&-09<br>Date:                          |
|  |  |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command:<br>Arrowhead Area    | Division:<br>Inland | Number: 865         |  |  |
|-------------------------------|---------------------|---------------------|--|--|
| Evaluated by:<br>Lt.          | Sanders             | Date:<br>1-6-2009   |  |  |
| Assisted by: D. Biggs/P. Ross |                     | Date:<br>01-06-2009 |  |  |

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level Command Level ☐ Executive Office Level Commander's Signature: Date: Follow-up Inspection Follow-up Required: 1-8-09 Yes No. For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks ☐ Yes □ No ⊠ N/A service contracts which are repetitive, regardless of the estimated dollar value? Is a CHP 78 Contract Request used for one-time ⊠ N/A ☐ Yes No services exceeding \$4,999.99? Is the Office of Primary Interest (OPI) tracking Remarks: Yes □No ⊠ N/A numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored and Remarks Lawn, door, pest control, ⊠ Yes □ No □ N/A documented? gate, & snow removal 5. Are all copies of correspondence with the vendor Remarks: Bill dispute for fuel stand by ⊠ Yes ☐ No □ N/A maintained? charge. Are letters for contracts documented and maintained Remarks No problem with services. : ☐ Yes ⊠ No □ N/A which outline any problems related to substandard or non-performance of the vendor? Is the final product to be delivered described Remarks ✓ Yes ☐ No □ N/A specifically and in as much detail as possible in the CHP 78? Are all required levels of approval/signature obtained, Remarks: None ☐ Yes N/A including the required documentation and approvals ☐ No for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

#### **INSPECTION CHECKLIST**

|     |  |       |      |       | W  |
|-----|--|-------|------|-------|--|
| 9.  | Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?   | ☐ Yes | ⊠ No | □ N/A | Remarks: Facilities handles.   |
| 10  | Is all work completed and accepted by the Department before expiration of contract agreement?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 11  | Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?  | ⊠ Yes | □ No | □ N/A | Remarks:   |
| 12  | . Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 13  | . Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?  | ⊠ Yes | ☐ No | □ N/A | Remarks: Facilities contacted prior to additional services provided. |
| 14  | Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 15  | Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ⊠ Yes | □ No | □ N/A | Remarks:   |
| 16  | Are all applicable form sections of the CHP 78 completed?  | ⊠ Yes | ☐ No | □ N/A | Remarks:   |
|     | Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ☐ Yes | □No  | ⊠ N/A | Remarks:   |
| 18. | Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ☐ Yes | □No  | ⊠ N/A | Remarks: Facilities handles.   |
| 19. | Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ☐ Yes | □No  | ⊠ N/A | Remarks:.  |
| 20. | Are contract amendment request dollar amounts increased more than 30%?   | ☐ Yes | ☐ No | ⊠ N/A | Remarks:   |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

#### INSPECTION CHECKLIST

| 21. Is the length of the contract amendment request more than one year?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
|---|-------|------|-------|----------|
| Are amendments requested before the expiration of the original contract?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request<br>initiated for any commercial meeting/conference room<br>rental which is expected to exceed \$4,999.99 in total<br>cost?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and<br>Federal Bureau of Investigation (FBI) <u>fingerprint</u><br><u>checks and driver license checks</u> conducted for all of<br>the following types of agreements:  | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| <ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>   |       |      |       |          |
| <ul> <li>26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  <ol> <li>Alarm and Fire Alarm Monitoring</li> <li>Camera Maintenance and Repair</li> <li>Carpet Installation</li> <li>Diesel Generator Maintenance and Repair</li> <li>Dishwasher Maintenance and Repair</li> <li>Elevator Maintenance and Repair</li> <li>Fire Extinguisher Service</li> <li>Garage Door Maintenance and Repair</li> <li>Graphic Arts Equipment Maintenance and Repair</li> <li>Heating, Ventilation, and Air Conditioning Service</li> <li>Laundry/Linen Service</li> <li>Office Machine Maintenance and Repair</li> <li>Painting Services (interior of facility)</li> <li>Plumbing Services</li> <li>Scale Maintenance and Repair</li> <li>Steam Cleaning Services (Carpet, not scales)</li> <li>Telephone Services (cellular, satellite, and regular)</li> <li>Television Equipment Maintenance and Repair</li> <li>Uninterruptible Power Supply Maintenance and Repair</li> </ol> </li></ul> | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 27. Are all driver license and fingerprint information<br>forwarded to Contract Services Unit (CSU), along with<br>the contract number for retention after Commander<br>review?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

|  |       |      |       | DC - C - C - C - C - C - C - C - C - C -  |
|--|-------|------|-------|---|
|  |       |      |       |   |
| 28. Is CSU advised by the command to determine if<br>adverse information discovered is grounds for<br>canceling the contract (i.e., adverse driver license<br>and/or criminal history information is received<br>regarding the contractor or the contractor's<br>personnel)? | ☐ Yes | □No  | ⊠ N/A | Remarks:  |
| 29. Are all invoices, records, and relevant documentation<br>maintained <u>for three years</u> after the final payment of<br>the contract?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 30. Is a log sheet maintained for a diary of activities related to the contract?   | ⊠ Yes | □No  | □ N/A | Remarks:Sign in/out at front desk.  |
| 31. Is a computer file prepared for all contracts administered?  | ☐ Yes | □No  | ⊠ N/A | Remarks:  |
| 32. Is a spreadsheet prepared listing all expenditures?  | ☐ Yes | ⊠ No | □ N/A | Remarks: Facilities handles.  |
| 33. Is the notification to the contractor documented for the<br>start date for services to begin?  | ⊠ Yes | □ No | □ N/A | Remarks: Contract Services Unit notifies contractor of start date.                |
| 34. Is the contractor contacted to determine if all invoices<br>have been received in order to oversee the<br>completion of the contract?  | ☐ Yes | ⊠ No | □ N/A | Remarks:  |
| 35. Do consultant services contracts of \$1,000 or more<br>contain detailed performance criteria and a schedule<br>for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)  | ☐ Yes | □No  | ⊠ N/A | Remarks:  |
| 36. Does the contract file contain the STD. 4 Contractor<br>Evaluation form for consultant contracts?<br>(SCM Vol. I, Ch. 3, Section 3.02.5)   | Yes   | □No  | ⊠ N/A | Remarks:  |
| <ol> <li>Does Contract work only begin after approval of the<br/>final contract? (SCM Vol. 1, Ch. 4, Section 4.09)</li> </ol>  | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)  | ☐ Yes | □ No | ⊠ N/A | Remarks:  |
| <ol> <li>Are any contract payments made prior to the final<br/>approval and execution of the contract? (SCM Vol. I,<br/>Ch. 4, Section 4.09)</li> </ol>  | ☐ Yes | ⊠ No | □ N/A | Remarks: Services are not authorized until a fully approved contract is received. |

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Arrowhead Area   | Division:<br>Inland | Chapter: 3          |
|------------------------------|---------------------|---------------------|
| Inspected by:<br>Lt. Sanders | ·                   | Date:<br>01-06-2009 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| TYPE OF INSPECTION                        |                                  | Corrective Action Plan Included |  |                     |  |
|---|----------------------------------|---------------------------------|--|---------------------|--|
| ☐ Division Level ☐ Command Level          |                                  | ☐ Appeal Included               |  |                     |  |
| Executive Office Level                    |                                  | Attachn                         | nents Included   |                     |  |
| Follow-up Required:                       | Forward to:                      |                                 | er's Signature:  | Date:               |  |
| │ │ │ Yes │ │ No                          | Inland Division                  |                                 |  | 01-08-2009          |  |
| Tes No                                    |                                  | <u> </u>                        | Sanders_   |                     |  |
|   | Due Date: <u>12/15/2008</u>      |                                 |  |                     |  |
| Chapter Inspection: Chapter 3             | 3 Command Procureme              | nt Contract                     | ls de la company de la comp  | Miristell, and fig. |  |
| Inspector's Comments Regard               | ding Innovative Practice         | es:                             |  | 约克里 经营业 人名罗里        |  |
|   |                                  |                                 |  |                     |  |
| (none)                                    |                                  |                                 |  |                     |  |
|   |                                  |                                 |  |                     |  |
| Command Suggestions for St                | atewide Improvement:             |                                 |  |                     |  |
|   |                                  |                                 |  |                     |  |
| (none)                                    |                                  |                                 |  |                     |  |
|   |                                  |                                 |  |                     |  |
| Inspector's Findings:                     |                                  |                                 |  |                     |  |
| 2   |                                  |                                 |  | 31                  |  |
| Area has not initiated any con            | tracts. Facilities section       | has hand                        | led the contracts for Area   | . Area              |  |
| monitors performance and ma               | lintains contact with Fac        | ilities secti                   | on.  |                     |  |
| a 2000年2018日本 日本年末的代表文                    |                                  |                                 |  | 能和60.000mm          |  |
| Appeal Process: (Appeals shall            | be filed within five (5) busines | ss days of the                  | completed chapter inspection)  |                     |  |
| Commander's Basis for Appea               | al:                              | With Section 1990               | Natura (Natura Natura N |                     |  |
|   |                                  |                                 |  |                     |  |
|   |                                  |                                 |  |                     |  |
| Appeal Review/Decision: (This             | shall be the only level of ann   | Λ                               |  |                     |  |
| ripped Notice/Decicion. (7/1/3            | Shan be the only level of app    | earj.                           |  |                     |  |
|   |                                  |                                 |  |                     |  |
| Lood Impostorio Signatura                 |                                  |                                 |  |                     |  |
| Lead Inspector's Signature:               |                                  |                                 | Date: 1-8-09   |                     |  |
| Responding Commander's Signature (for app | eal):                            |                                 | Date:  |                     |  |
|   |                                  |                                 |  |                     |  |

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12/4/08
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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command:<br>Rancho        | Rancho Inland Division |               |  |  |
|---------------------------|------------------------|---------------|--|--|
| Cucamonga                 |                        |               |  |  |
| Evaluated by:             |                        | Date:         |  |  |
| Lt. McDermott             |                        | 12/04/08      |  |  |
| Assisted by: Becky Guzman |                        | Date:12/04/08 |  |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION  |                         | Lead Inspe | ctor's Signatu  | re:   |   |
|---|-------------------------|------------|-----------------|-------|---|
| ☐ Division Level ☐ Command Level  |                         | 14.55 N. 1 |                 | oes a |   |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection  |                         | Security 1 | a               |       | 10-22   |
| Follow-up Required:   | pection                 | Commande   | er's Signature: |       | Date: 12 - 4 - 08                                   |
| For applicable policy, refer to: HPM 11.2, Chap   | ter 3                   |            |                 |       |   |
| Are all employees associated with the use of<br>Card program completing the CHP 78S, Con<br>Interest Statement, Employee, form?                     | f the Cal-<br>oflict of | ⊠ Yes      | □No             | □ N/A |   |
| <ol> <li>Are STD. 21 Drug Free Workplace certification         maintained within the Cal Card command file         each vendor utilized?</li> </ol> | ons<br>e for            | ⊠ Yes      | □No             | □ N/A | Remarks:  |
| Are STD. 204 Payee Data Record forms main the Cal Card command file for each vendoutilized?   | intained<br>or          | ⊠ Yes      | □No             | □ N/A | Remarks:  |
| Are California Integrated Waste Managemer<br>Form 74 documents maintained for each ver<br>utilized?   | nt Board<br>ndor        | ⊠ Yes      | ☐ No            | □ N/A | Remarks:  |
| 5. If the vendor is a small business or DVBE is is the certification letter from the Department General Services maintained in the file?            | utilized,<br>of         | ⊠ Yes      | □ No            | □ N/A | Remarks: Also submitted with paperwork to Division. |
| 6. When fair and reasonable is utilized, is the fareasonable method documented and properly justified?  | air and<br>y            | ⊠ Yes      | □No             | □ N/A | Remarks:  |
| 7. Are purchases split into multiple transactions to circumvent transaction purchase limits?  | in order                | ☐ Yes      | ⊠ No            | □ N/A | Remarks: Purchase limits are strictly adhered to.   |
| Does the CHP 317 Cal Card Log fully descripurchase?   |                         | ⊠ Yes      | □No             | □ N/A | Remarks:  |
| Are bank statements reconciled with the CHI     Cal Card Log and the receipts/invoices?   | P 317                   | ⊠ Yes      | ☐ No            | □ N/A | Remarks:  |

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10. Is the CHP 317 Cal Card Log properly authorized and maintained?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
|--|-------|------|-------|---|
| Are credit invoices/receipts for returned items maintained with the bank statement?  | ⊠ Yes | □No  | □ N/A | Remarks: Yes, and submitted when appeared on bank statement.              |
| 12. Do non-itemized purchase receipts/invoices<br>document the purchase by listing the commodity,<br>quantity, and unit price of the item(s) purchased on<br>the bank statement. | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 13. Are Cal Cards maintained in a secure area?   | ⊠ Yes | □No  | □ N/A | Remarks: Located in a locked strong box, locked cabinet in a locked room. |
| 14. Are Cal Card purchases pre-approved by the commander?  | ⊠ Yes | □No  | □ N/A | Remarks: And/Or her alternate.  |
| 15. Have all cardholders received training on the Department's procurement processes?  | ⊠ Yes | □No  | □ N/A | Remarks: Trained by Division and Hdqts staff.                             |
| 16. Are item(s) purchased with the Cal Card prohibited by departmental policy?   | Yes   | ⊠ No | □ N/A | Remarks: Hard copy of prohibited items kept handy for easy referral.      |

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Rancho Cucamonga | Division:<br>Inland | Chapter: 3, Command<br>Procurements Cal-Card<br>Program |
|------------------------------|---------------------|---|
| Inspected by:                |                     | Date:   |
| Lt. McDermott                |                     | 12/04/2008  |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| TYPE OF INSPECTION           |                          | Corrective Action Plan Included  |       |
|------------------------------|--------------------------|--|-------|
| ☐ Division Level ☐ Command L | evel                     | Appeal Included  |       |
| ☐ Executive Office Level     |                          | Attachments Included   |       |
| Follow-up Required:          | Forward to:              | Commander's Signature:   | Date: |
| ☐ Yes                        | Due Date:                | Ampernale  | 16/09 |
| Chapter Inspection:          |                          |  |       |
| Inspector's Comments Regar   | ding Innovative Practice | a Sancon as a substitution of the sancon and the sa |       |
| Inspector's Comments Negar   | unig mnovative i ractice |  |       |
| None                         |                          |  |       |
|                              |                          |  |       |
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|                              |                          |  |       |
|                              |                          |  |       |
| Command Suggestions for St   | atewide Improvement:     |  |       |
| None                         |                          |  |       |
|                              |                          |  |       |
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| r                            |                          |  |       |

Within policy, no deficiencies.

Inspector's Findings:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

| Command:<br>Rancho Cucamonga   | Division:<br>Inland | Chapter: 3, Command<br>Procurements Cal-Card<br>Program |
|--------------------------------|---------------------|---|
| Inspected by:<br>Lt. McDermott |                     | Date:<br>12/04/2008                                     |

| Appeal Process: (Appeals shall be filed within five (5) business days of | of the completed chapter inspection). |  |
|--|---------------------------------------|--|
| Commander's Basis for Appeal:  |                                       |  |
| N/A  |                                       |  |
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| Appeal Review/Decision: (This shall be the only level of appeal).        |                                       |  |
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| Lead Inspector's Signature:  | Date: /                               |  |
| Blunchernose   | 1/4/09                                |  |
| Responding Commander's Signature (for appeal):                           | Date:                                 |  |

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Page 1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command:<br>Rancho     | Division:<br>Inland Division | Number:        |
|------------------------|------------------------------|----------------|
| Cucamonga              |                              |                |
| Evaluated by:          | •                            | Date:          |
| Lt. McDermott          |                              | 12/01/08       |
| Assisted by: Becky Guz | rman, OSS                    | Date: 12/01/08 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION  | Lead Inspe | ctor's Signatu  | ire:  |   |
|---|------------|-----------------|-------|---|
| ☐ Division Level ☐ Command Level  |            |                 |       | -   |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection  | DA         | MCK             | XX    | nou   |
| Follow-up Required:   | Commande   | er's Signature: | -     | Date: 13-2-08   |
| For applicable policy, refer to: HPM 11.1, Chapter 23   |            | 0               |       |   |
| Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?   | ☐ Yes      | ⊠ No            | □ N/A | Remarks:  |
| Does all X Number file documentation contain the STD. 204 Payee Data Record?  | ⊠ Yes      | ☐ No            | □ N/A | Remarks:  |
| <ol> <li>Do X Numbers requiring a contract (i.e., janitorial or<br/>landscaping) have prior approval from the Business<br/>Services Section commander?</li> </ol>                 | ☐ Yes      | □No             | ⊠ N/A | Remarks: Never done like that in this Command.                |
| Are X Number requests made prior to the date the services are performed?  | ⊠ Yes      | ☐ No            | □ N/A | Remarks: Use email from Division OSS as proof and attachment. |
| 5. Are X Numbers issued for a one-time use?   | ⊠ Yes      | □No             | □ N/A | Remarks:  |
| Are prohibited services performed using an X     Number?  | ☐ Yes      | ⊠ No            | □ N/A | Remarks:  |
| 7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?   | ⊠ Yes      | □No             | □ N/A | Remarks: Services only.                                       |
| Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?  | ⊠ Yes      | ☐ No            | □ N/A | Remarks:  |
| <ol> <li>Do X Numbers used for facilities related services<br/>(such as roof repair, electrical) costing over \$1,000<br/>have prior approval from Facilities Section?</li> </ol> | ⊠ Yes      | □No             | □ N/A | Remarks:  |
| Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?  | ☐ Yes      | □No             | ⊠ N/A | Remarks:  |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| 11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ⊠ Yes | □No | □ N/A | Remarks: Unless it is sole source vendor then that is noted on paperwork to Division. |
|---|-------|-----|-------|---|
| 12. Do all X Numbers awarded to a small business<br>vendor contain the small business certification from<br>the Department of General Services (DGS)? | ⊠ Yes | □No | □ N/A | Remarks: Submitted and kept on file at Area level.                                    |
| 13. Does the file documentation contain the STD. 21<br>Drug Free workplace certification for X Number<br>vendors?                                     | ⊠ Yes | □No | □ N/A | Remarks:  |
| 14. Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | □No | □ N/A | Remarks: If facilities related, then approval from Hdqts Facility unit is on file.    |
| 15. Is the itemized invoice for each X Number service maintained in the command's files?  | ⊠ Yes | □No | □ N/A | Remarks:  |

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Rancho Cucamonga | Division:<br>Inland | Chapter: 3, Command<br>Procurements X-<br>Number Program |
|------------------------------|---------------------|--|
| Inspected by:                |                     | Date:<br>12/01/2008                                      |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required. |                           |                                 |                           |
|-------------------------------|---------------------------|---------------------------------|---------------------------|
| TYPE OF INSPECTION            |                           | Corrective Action Plan Included |                           |
| ☐ Division Level ☐ Command I  | Level                     | ☐ Appeal Included               |                           |
| ☐ Executive Office Level      |                           | Attachments Included            |                           |
| Follow-up Required:           | Forward to:               | Commander's Signature:          | Date:                     |
| ☐ Yes                         | Due Date:                 | DAMOUSMOU                       | 1/6/09                    |
| Chapter Inspection:           |                           |                                 |                           |
| Inspector's Comments Rega     | rding Innovative Practice | es:                             | SURE THE OUT OF THE COMME |
| None                          |                           |                                 |                           |
|                               |                           |                                 |                           |
|                               |                           |                                 |                           |
|                               |                           |                                 |                           |
| ·                             |                           |                                 |                           |
| Command Suggestions for S     | Statewide Improvement:    |                                 |                           |
| None                          |                           |                                 |                           |
|                               |                           |                                 |                           |
|                               |                           |                                 |                           |
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|                               |                           |                                 |                           |
| Inspector's Findings:         |                           |                                 |                           |

Within policy, no deficiencies.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

| Command:<br>Rancho Cucamonga | Division:<br>Inland | Chapter: 3, Command Procurements X- Number Program |
|------------------------------|---------------------|--|
| Inspected by:                | •                   | Date:<br>12/01/2008                                |

| Page 3  | Z. Mosermen                                       |
|---|---|
|   |   |
| Appeal Process: (Appeals shall be filed within five (5) but | siness days of the completed chapter inspection). |
| Commander's Basis for Appeal:                               |   |
| N/A   |   |
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| Appeal Review/Decision: (This shall be the only level of    | f appeal).  |
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| Load Inspector's Signature:                                 | Date:   |
| Lead Inspector's Signature:                                 | 1/6/09  |
| Responding Commander's Signature (for appeal):              | Date:   |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements Contracts

| Command:<br>Rancho Cucamonga | Division:<br>Inland | Number:          |
|------------------------------|---------------------|------------------|
| Evaluated by:                |                     | Date:            |
| Lt. Mark Roe, #9912          |                     | December 1, 2008 |
| Assisted by:                 |                     | Date:            |
| Sgt. Tom Graham, #13         | 293                 | December 1, 2008 |

| applicable legal statues, or deficiencies noted in the inspections shall discrepancies and/or deficiencies shall be documented on an Except Furthermore, the Exceptions Document shall include any follow-up and Inspection, the "Follow-up Inspection" box shall be marked and only or | ions Document and addressed to the next level of command.<br>nd/or corrective action(s) taken. If this form is used as a Follow-up |
|---|--|
| TYPE OF INSPECTION  | Lead Inspector's Signature: //   |
| ☐ Division Level ☐ Command Level  | Markful  |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection  |  |
| Follow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No   | Commander's Signature: Date: /2.2-08   |
| For applicable policy, refer to: HPM 11.1, Chapter 22   |  |
| <ol> <li>Is a CHP 78 Contract Request used to initiate all<br/>service contracts which are repetitive, regardless of<br/>the estimated dollar value?</li> </ol>   |  |
| <ol><li>Is a CHP 78 Contract Request used for one-time<br/>services exceeding \$4,999.99?</li></ol>   |  |
| Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?  | ☐ Yes ☐ No ☐ N/A Remarks: Business Services Section — Contract Services Unit completes the OPI Tracking Numbers                    |
| Is the performance of contract services monitored and documented?   |  |
| 5. Are all copies of correspondence with the vendor maintained?   |  |
| 6. Are letters for contracts documented and maintained<br>which outline any problems related to substandard or<br>non-performance of the vendor?  | Yes No N/A Remarks: A correspondence log is kept in file for each vendor.  |
| 7. Is the final product to be delivered described<br>specifically and in as much detail as possible in the<br>CHP 78?   |  |
| <ol> <li>Are all required levels of approval/signature obtained,<br/>including the required documentation and approvals<br/>for expedite and emergency contracts per HPM 11.1,<br/>Chapter 22, before forwarding the CHP 78 or CHP<br/>78A?</li> </ol>                                  |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| Are requests for contract services less than six months from the anticipated start date of the contra pre-approved by Assistant Commissioner, Staff, for expedited processing?   |               | ⊠ No | □ N/A | Remarks: Contracts are started after the start date.   |
|--|---------------|------|-------|--|
| 10. Is all work completed and accepted by the     Department before expiration of contract agreemer  | nt? 🛛 Yes     | □No  | □ N/A | Remarks:   |
| 11. Are contract services performed according to the<br>quality, quantity, objectives, timeframes, and in the<br>manner specified in the contract (e.g., review<br>progress reports and interim products)?                                     | ⊠ Yes         | ∏ No | □ N/A | Remarks:   |
| 12. Are invoices for payment reviewed and approved to<br>substantiate expenditures for work performed and t<br>prevent penalties being assessed?   | o X Yes       | □ No | □ N/A | Remarks:   |
| 13. Are contract expenditures monitored to ensure ther are <u>sufficient funds</u> to pay for all services rendered as required by contract?   | re<br>⊠ Yes   | □ No | □ N/A | Remarks: A running balance is kept for contracts.  |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?  | d<br>le X Yes | □ No | □ N/A | Remarks: Depending on the contract the Administrative Sergeant walks with the vendor to ensure job completion. |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ⊠ Yes         | ☐ No | □ N/A | Remarks:   |
| 16. Are all applicable form sections of the CHP 78 completed?  | ⊠ Yes         | ☐ No | □ N/A | Remarks: They are completed with assistance of Business Services Section – Contract Service Unit.              |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? |               | □No  | □ N/A | Remarks:   |
| 18. Are all employees associated with the managemen<br>of a contract completing the CHP 78S, Conflict of<br>Interest Statement, Employee, form?  | t 🛛 🖂 Yes     | □No  | □ N/A | Remarks:   |
| 19. Are problems concerning the contractor's performance fully documented in writing and made part of the contract manager's contract file?  | a X Yes       | □No  | □ N/A | Remarks: It would be documented when necessary.  |
| 20. Are contract amendment request dollar amounts increased more than 30%?   | ☐ Yes         | ⊠ No | □ N/A | Remarks: No requests have been made.   |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 21 | . Is the length of the contract amendment request more than one year?  | ⊠ Yes | □No  | □ N/A | Remarks: Contracts are usually done for two years.              |
|----|--|-------|------|-------|---|
| 22 | . Are amendments requested before the expiration of the original contract?   | ⊠ Yes | □No  | □ N/A | Remarks: If we are going to continue with the same contractor.  |
| 23 | . Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?  | ☐ Yes | □No  | ⊠ N/A | Remarks: Conference room rental at this Area has not been done. |
| 24 | Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?  | ☐ Yes | □ No | ⊠ N/A | Remarks: Conference room rental at this Area has not been done. |
| 25 | Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair   | ☐ Yes | □No  | ⊠ N/A | Remarks:  |
|    | <ul> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>   |       |      |       |   |
| 26 | Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  | ⊠ Yes | □No  | □ N/A | Remarks:  |
|    | <ol> <li>Alarm and Fire Alarm Monitoring</li> <li>Camera Maintenance and Repair</li> <li>Carpet Installation</li> <li>Diesel Generator Maintenance and Repair</li> <li>Dishwasher Maintenance and Repair</li> <li>Elevator Maintenance and Repair</li> <li>Fire Extinguisher Service</li> <li>Garage Door Maintenance and Repair</li> <li>Graphic Arts Equipment Maintenance and Repair</li> <li>Heating, Ventilation, and Air Conditioning Service</li> <li>Laundry/Linen Service</li> <li>Office Machine Maintenance and Repair</li> <li>Painting Services (interior of facility)</li> <li>Plumbing Services</li> <li>Scale Maintenance and Repair</li> <li>Steam Cleaning Services (Carpet, not scales)</li> <li>Telephone Services (cellular, satellite, and regular)</li> <li>Television Equipment Maintenance and Repair</li> <li>Uninterruptible Power Supply Maintenance and Repair</li> </ol> |       |      |       |   |
|    |  |       |      |       |   |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 27  | Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
|-----|---|-------|------|-------|--|
| 28  | Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 29. | Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?  | ⊠ Yes | □No  | □ N/A | Remarks: The Office Manager retains copies of all invoices.  |
| 30. | Is a log sheet maintained for a diary of activities related to the contract?  | ⊠ Yes | □No  | □ N/A | Remarks: The front desk officer retains a sign in sheet for the contractors.                             |
| 31. | Is a computer file prepared for all contracts administered?   | ☐ Yes | ⊠ No | □ N/A | Remarks: Kept in individual files.   |
| 32. | Is a spreadsheet prepared listing all expenditures?   | ⊠ Yes | ☐ No | □ N/A | Remarks: Kept in individual files.   |
| 33. | Is the notification to the contractor documented for the start date for services to begin?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 34. | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | ⊠ Yes | □No  | □ N/A | Remarks: Only if there is a missing invoice.   |
| 35. | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ☐ Yes | □No  | ⊠ N/A | Remarks: The only consulting services were contracted through Facilities Section, for mold in the walls. |
| 36. | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | Yes   | □No  | ⊠ N/A | Remarks: The only consulting services were contracted through Facilities Section, for mold in the walls. |
| 37. | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ⊠ Yes | ☐ No | □ N/A | Remarks:   |
| 38. | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ☐ Yes | □ No | ⊠ N/A | Remarks: This command does not contract with personal services.  |
| 39. | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)   | ☐ Yes | ⊠ No | □ N/A | Remarks:   |

#### **COMMAND INSPECTION PROGRAM**

| Rancho Cucamonga | Inland | Procurements<br>Contracts |
|------------------|--------|---------------------------|
| Inspected by:    |        | Date: 12/01/2008          |

Division:

Chapter: 3, Command

**EXCEPTIONS DOCUMENT** 

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if

Command:

| additional space is required. |                           |                                 |        |
|-------------------------------|---------------------------|---------------------------------|--------|
| TYPE OF INSPECTION            |                           | Corrective Action Plan Included |        |
| ☐ Division Level ☐ Command I  | Level                     | Appeal Included                 |        |
| ☐ Executive Office Level      |                           | Attachments Included            | A.     |
| Follow-up Required:           | Forward to:               | Commander's Signature:          | Date:  |
| ☐ Yes                         | Due Date:                 | DIMCDORACIA                     | 1/6/09 |
| Chapter Inspection:           |                           |                                 |        |
| Inspector's Comments Rega     | rding Innovative Practice | es:                             |        |
| None                          |                           |                                 |        |
| W                             |                           |                                 |        |
|                               |                           |                                 |        |
|                               |                           |                                 |        |
|                               |                           |                                 |        |
| Command Suggestions for S     | Statewide Improvement:    |                                 |        |
| None                          |                           |                                 |        |
| None                          |                           |                                 |        |
| ,                             |                           |                                 |        |
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Within policy, no deficiencies.

Inspector's Findings:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

Command:
Rancho Cucamonga
Inland
Inspected by:
Lt. Roe
Division:
Inland
Procurements
Contracts
Date:
12/01/2008

| Commander's Basis for Appeal:                                     |              |
|---|--------------|
| N/A   |              |
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| Appeal Review/Decision: (This shall be the only level of appeal). |              |
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|   |              |
| Lead Inspector's Signature  | Date: 010709 |
| Responding Commander's Signature (for appeal):                    | Date:        |

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

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12/4/08
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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM** INSPECTION CHECKLIST

Chapter 3, Command Procurements **Purchases** 

| Command:<br>Rancho    | Division:<br>Inland Division | Number:  |
|-----------------------|------------------------------|----------|
| Cucamonga             |                              |          |
| Evaluated by:         |                              | Date:    |
| Lt. McDermott         |                              | 12/01/08 |
| Assisted by: Becky Gu | zman, OSS                    | 12/01/08 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION □ Command Level ☐ Division Level ☐ Executive Office Level □ Voluntary Self-Inspection Follow-up Required: 12.2-08 Follow-up Inspection ⊠ No ☐ Yes For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: Trained by Inland Division command level familiar with the related policies and □No □ N/A ⊠ Yes staff. procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: Commander recently ⊠ Yes ∏ No  $\square$  N/A procurement training? received training. 3. Are prohibited items procured on CHP 43, Purchases Remarks: □ N/A ☐ Yes ⊠ No Requisitions? Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: One CHP 43 per vendor. □ No □ N/A ✓ Yes prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Remarks: X Yes □No  $\prod N/A$ Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: ✓ Yes ☐ No □ N/A consecutively, starting anew at the beginning of each fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: Sent to Inland Division □ N/A ⊠ Yes ☐ No forwarded to the Assistant Commissioner, Staff, for AGPA first. approval?

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

2.4

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

|   | Do specialized items purchased conta<br>appropriate Division, and/or OPI appr   | ain the<br>ovals? ⊠ Y€     | s No    | □ N/A | Remarks:                               |
|---|---|----------------------------|---------|-------|--|
| - | Are the CHP 43, Purchase Requisitio competitively bid?  | ns,                        | s 🗆 No  | □ N/A | Remarks:                               |
|   | 10. Does the CHP 315, Price Comparison document at least two price quotation  |                            | s 🗌 No  | □ N/A | Remarks:                               |
|   | 11. Are Limited Competitive Bidding purc<br>that limit or restrict the purchase to or<br>brand or model justified and in compli<br>3555?                          | ne specific 🔰 🔀 Ye         | s 🗌 No  | □ N/A | Remarks: Still try to get 3 bids,      |
|   | 12. Are Limited Competitive Bidding purc<br>for items that interface with existing d<br>equipment in compliance with SAM 3  | epartmental LJY6<br>555.3? | s 🗌 No  | ⊠ N/A | Remarks:                               |
|   | 13. Do Non-Competitive Bid (NCB) purch contain the NCB justification and NCE Action Plan documents?   | ase requests 3 Corrective  | s No    | ⊠ N/A | Remarks:                               |
|   | 14. Are items checked immediately for co<br>damage when delivered?  | ontent and                 | es 🗌 No | □ N/A | Remarks:                               |
|   | 15. Is the "received copy" of the purchase approved, dated, and forwarded to th Management Section (FMS), Accoun within three business days of receipt, accepted? | e Fiscal                   | es No   | □ N/A | Remarks: Also sent to Division<br>AGPA |
|   | 16. Are freight and/or packing slips attach received copy of the purchase order a FMS?  | ned to the and sent to     | es 🗌 No | □ N/A | Remarks:                               |
|   | 17. Is FMS provided a photocopy of the pand any approved freight or packing acknowledgement that a portion of the been received?                                  | slips as 📗 🖂 Ye            | es No   | □ N/A | Remarks:                               |
|   | 18. Is the original "received copy" retaine command for completion and forward when the complete shipment is received.  | ling to the FMS   🔀 Ye     | es 🗌 No | □ N/A | Remarks: Also sent to Division AGPA    |
|   | 19. Are <u>Damaged items</u> delivered by come acknowledged on the freight bill by the before being accepted?   | nmon carrier               | es No   | □ N/A | Remarks:                               |
| 1 |   |                            |         |       |  |

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared? | ⊠ Yes | □No  | □ N/A | Remarks:                                       |
|--|-------|------|-------|--|
| 21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)   | ⊠ Yes | □ No | □ N/A | Remarks: Follow up phone calls to the vendors. |
| 22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)   | ⊠ Yes | □ No | □ N/A | Remarks:                                       |
| 23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)  | ⊠ Yes | □No  | □ N/A | Remarks:                                       |
| 24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)  | ☐ Yes | ⊠ No | □ N/A | Remarks: Not done in this Command.             |

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Rancho Cucamonga   | Division:<br>Inland | Chapter: 3, Command<br>Procurements<br>Purchases |
|--------------------------------|---------------------|--|
| Inspected by:<br>Lt. McDermott |                     | Date: 12/01/2008                                 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required.                 |                           |  | <del></del> |
|---|---------------------------|--|-------------|
| TYPE OF INSPECTION  Division Level  Command L | _evel                     | ☐ Corrective Action Plan Included☐ Appeal Included   |             |
| Executive Office Level                        |                           | Attachments Included   |             |
| Follow-up Required:                           | Forward to:               | Commander's Signature:   | Date:       |
| ☐ Yes   | Due Date:                 | DAMCDernace  | 1/6/09      |
| Chapter Inspection:                           |                           |  |             |
| Inspector's Comments Regar                    | rding Innovative Practice | 9S:  |             |
| None  |                           |  |             |
|   |                           |  |             |
| 18  |                           |  |             |
|   |                           |  |             |
| Command Suggestions for S                     | tatewide Improvement:     |  |             |
| None  |                           |  |             |
|   |                           |  |             |
|   |                           |  |             |
| Inenector's Findings:                         |                           | The state of the s |             |

Within policy, no deficiencies.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

| Command: Division: Rancho Cucamonga Inland |  | Chapter: 3, Command<br>Procurements<br>Purchases |  |
|--|--|--|--|
| Inspected by:<br>Lt. McDermott             |  | Date: 12/01/2008                                 |  |

| Appeal Process: (Appeals shall be filed within five (5) business days of the | completed chapter inspection). |          |
|--|--------------------------------|----------|
| Commander's Basis for Appeal:  |                                |          |
| N/A  |                                |          |
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| Appeal Review/Decision: (This shall be the only level of appeal).            |                                |          |
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|  |                                |          |
|  |                                |          |
| Lead Inspector's Signature:  | Date:                          |          |
| Responding Commander's Signature (for appeal):                               | Date:                          |          |
|  |                                |          |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command:<br>Riverside                    | Division:<br>Inland (801) | Number:             |
|--|---------------------------|---------------------|
| Evaluated by:<br>Sgt. J. R. Wood, #11577 |                           | Date: 12/15/2008    |
| Assisted by:<br>OSS1 Maria Sandoval      |                           | Date:<br>12/15/2008 |

1 of 2

Page

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION  | Lead Inspector's Signature:             |
|---|---|
| ☐ Division Level ☐ Command Level  | Moderal                                 |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection  | 7100000                                 |
| Follow-up Required:   | Commander's Signature:  Date:  12/24/08 |
| ☐ Yes 💢 No  | 7.7 12/24/08                            |
| For applicable policy, refer to: HPM 11.1, Chapter 23   |   |
| Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?   | ☐ Yes ☑ No ☐ N/A Remarks:               |
| Does all X Number file documentation contain the STD. 204 Payee Data Record?  | ☐ Yes ☐ No ☐ N/A Remarks:               |
| 3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?  |   |
| Are X Number requests made prior to the date the services are performed?  | ☐ Yes ☐ No ☐ N/A Remarks:               |
| 5. Are X Numbers issued for a one-time use?   |   |
| 6. Are prohibited services performed using an X Number?   | ☐ Yes ☐ No ☐ N/A Remarks:               |
| 7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?   |   |
| Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?  | ☐ Yes ☐ No ☑ N/A Remarks:               |
| <ol> <li>Do X Numbers used for facilities related services<br/>(such as roof repair, electrical) costing over \$1,000<br/>have prior approval from Facilities Section?</li> </ol> | Yes □ No □ N/A Remarks:                 |
| Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?  |   |

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| 11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ⊠ Yes | □No  | □ N/A | Remarks: |
|---|-------|------|-------|----------|
| 12. Do all X Numbers awarded to a small business<br>vendor contain the small business certification from<br>the Department of General Services (DGS)? | ☐ Yes | ⊠ No | □ N/A | Remarks: |
| 13. Does the file documentation contain the STD. 21<br>Drug Free workplace certification for X Number<br>vendors?                                     | ☐ Yes | ⊠ No | □ N/A | Remarks: |
| 14. Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 15. Is the itemized invoice for each X Number service maintained in the command's files?  | ⊠ Yes | □No  | □ N/A | Remarks: |

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Riverside   | Division:<br>Inland | Chapter:<br>3 |
|-------------------------|---------------------|---------------|
| Inspected by:           |                     | Date:         |
| Sgt. J. R. Wood, #11577 |                     | 12/15/2008    |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required. |                                       |                                   |           |
|-------------------------------|---------------------------------------|-----------------------------------|-----------|
| TYPE OF INSPECTION            |                                       | □ Corrective Action Plan Included |           |
| ☐ Division Level ☐ Comman     | d Level                               | ☐ Appeal Included                 |           |
| Executive Office Level        |                                       | Attachments Included              |           |
| Follow-up Required:           | Forward to:                           | Commander's Signature:            | Date:     |
| [ ] Yes 🔀 No                  | Due Date:                             | 7.7                               | 12/24/00  |
| Chapter Inspection:           |                                       |                                   | 170% 5.1% |
| Inspector's Comments Reg      | parding Innovative Practic            | es:                               |           |
| N/A                           | , and an ing management of the second |                                   |           |
|                               |                                       |                                   |           |
|                               |                                       |                                   |           |
|                               |                                       |                                   |           |
|                               |                                       |                                   |           |
|                               |                                       |                                   |           |
| Command Suggestions for       | Statewide Improvement                 |                                   |           |
| N/A                           | Statewide improvement.                |                                   |           |
|                               |                                       |                                   |           |
|                               |                                       |                                   |           |
|                               |                                       |                                   |           |
|                               |                                       |                                   |           |
|                               |                                       |                                   |           |
| Inspector's Findings:         |                                       |                                   |           |

- 1. The X-Number file does not contain current STD 204 (Payee Data Records).
- 2. The X-Number file does not contain current STD 21 (Drug Free workplace certifications)
- 3. The X-Number file does not contain the small business certification from DGS.

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

| Command:                                 | Division: | Chapter:         |
|--|-----------|------------------|
| Riverside                                | Inland    | 3                |
| Inspected by:<br>Sgt. J. R. Wood, #11577 |           | Date: 12/15/2008 |

| Commander's Respons |
|---------------------|
|---------------------|

The Area Commander, T.M. McCreary, #11882, will continue to be diligent in ensuring the mandates set forth in Departmental policy regarding management and accountability of the X Number Program are followed.

| Inspector's | Comments: |
|-------------|-----------|
|-------------|-----------|

#### Required Action

Corrective Action Plan/Timeline

1. STD 21, STD 204, and small business certification letter discrepancies. Although the Area had several expired STD 21 & STD 204's on file there were none that were current. There were no small business certification letters on file. To correct these problems a suspense file has been made for these forms, which will prompt the clerical staff to obtain a new form at the time of expiration (3 years). With all new services (X-Number request) the X-Number coordinator will ensure these forms are completed and placed into the suspense file.

# STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Lead Inspector's Signature:                    | Date: |
|--|-------|
| Responding Commander's Signature (for appeal): | Date: |

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|-------|-----|-----|---|
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# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

| sion: | Number:  |
|-------|----------|
| nd    | 3        |
|       | Date:    |
| 1577  | 12/15/08 |
|       | Date:    |
|       | nd       |

|                                  |   |  |   |  | =====                                    |  |                        |
|----------------------------------|---|--|---|--|--|--|------------------------|
| applicat<br>discrepa<br>Furtherr | ble legal statues, or deficiencie<br>ancies and/or deficiencies shal<br>more, the Exceptions Docume                         | ems with "Yes" or "No" answers<br>s noted in the inspections shall<br>l be documented on an Exception<br>nt shall include any follow-up an<br>box shall be marked and only d | be commen<br>ons Docume<br>d/or correct | ted on via th<br>ent and addr<br>ive action(s) | e "Remark<br>essed to th<br>taken. If tl | s" section. A<br>le next level d<br>his form is us | of command.            |
|                                  |   |  | ·                                       | 1 1 0  |  |  |                        |
| TYPE OF                          | INSPECTION  |  | Lead inspe                              | ctor's Signatu                                 | re:                                      |  |                        |
| ☐ Divi                           | sion Level  | Command Level  |   | 1/1/1  |  |  |                        |
| ☐ Exe                            | cutive Office Level   | Voluntary Self-Inspection  | 110                                     |  |  |  |                        |
| Fo                               | llow-up Required:<br>│Yes   | ☐ Follow-up Inspection   | Commande                                | er's Signature                                 |  |  | Date:                  |
| For ap                           | plicable policy, refer to:  | HPM 11.2, Chapter 7  |   |  |  |  | ,                      |
| 1.                               | Are participants in the procedures for purchasing   | th the related policies and  | ⊠ Yes                                   | □No  | □ N/A                                    | Remarks:   |                        |
| 2.                               | Have Approvers/reviewers procurement training?  | of purchases received  | ⊠ Yes                                   | □No  | □ N/A                                    | Remarks:   |                        |
| 3.                               | Are prohibited items procu<br>Requisitions?   | red on CHP 43, Purchases   | ☐ Yes                                   | ⊠ No   | □ N/A                                    | Remarks:   |                        |
|                                  | <ul> <li>Supplies for perso</li> <li>Commodities for person</li> <li>Confirming order</li> <li>Purchases via the</li> </ul> |  |   |  |  |  |                        |
| 4.                               | Are separate CHP 43s, Puprepared for commodity its different suppliers or from commodity contracts?                         | ems obtainable from  | ⊠ Yes                                   | ☐ No   | □ N/A                                    | Remarks:   |                        |
| 5.                               | Is all required information Purchase Requisition?   | entered on the CHP 43,   | ⊠ Yes                                   | □No  | □ N/A                                    | Remarks:   |                        |
| 6.                               | Are the CHP 43, Purchase consecutively, starting and fiscal year (July 1)?  | e Requisitions, numbered<br>ew at the beginning of each  | ⊠ Yes                                   | □ No   | □ N/A                                    | Remarks:   |                        |
| 7.                               | Are expedited requests for forwarded to the Assistant approval?   | the purchase of goods<br>Commissioner, Staff, for  | ☐ Yes                                   | □No  | ⊠ N/A                                    | Remarks:No<br>in log                               | expedited requests are |

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| Do specialized items purchased contain the appropriate Division, and/or OPI approvals?  | ⊠ Yes | ☐ No | □ N/A | Remarks:  |
|---|-------|------|-------|---|
| 9. Are the CHP 43, Purchase Requisitions, competitively bid?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 11. Are Limited Competitive Bidding purchase requests<br>that limit or restrict the purchase to one specific<br>brand or model justified and in compliance with SAM<br>3555?                                    | ☐ Yes | □ No | ⊠ N/A | Remarks: There are no limited competitive bidding purchase request on file. |
| 12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?  | ☐ Yes | □ No | ⊠ N/A | Remarks: There are no limited competitive bidding purchase request on file. |
| 13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  | ☐ Yes | □No  | ⊠ N/A | Remarks: There are no non-<br>competitive bid purchase request on<br>file.  |
| 14. Are items checked immediately for content and damage when delivered?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted? | ⊠ Yes | □ No | □ N/A | Remarks:  |
| 16. Are freight and/or packing slips attached to the<br>received copy of the purchase order and sent to<br>FMS?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 17. Is FMS provided a photocopy of the purchase order<br>and any approved freight or packing slips as<br>acknowledgement that a portion of the order has<br>been received?                                      | ⊠ Yes | □ No | □ N/A | Remarks:  |
| 18. Is the original "received copy" retained by the<br>command for completion and forwarding to the FMS<br>when the complete shipment is received?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?  | Yes   | □ No | ⊠ N/A | Remarks:  |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared? | ☐ Yes | □No  | ⊠ N/A | Remarks  |
|--|-------|------|-------|----------|
| 21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)   | ☐ Yes | ⊠ No | □ N/A | Remarks: |

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Riverside | Division:<br>Inland | Chapter:<br>3 |
|-----------------------|---------------------|---------------|
| Inspected by:         |                     | <br>Date:     |
| Sgt. J. R. Wo         | od, #11577          | 12/15/2008    |

| INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. |                           |                                 |                 |  |  |
|--|---------------------------|---------------------------------|-----------------|--|--|
| TYPE OF INSPECTION   |                           | Corrective Action Plan Included |                 |  |  |
| ☐ Division Level ☐ Command L   | Level                     | ☐ Appeal Included               |                 |  |  |
| ☐ Executive Office Level   |                           | ☐ Attachments Included          |                 |  |  |
| Follow-up Required:  | Forward to:               | Commander's Signature:          | Date:           |  |  |
| ☐ Yes  | Due Date:                 | To you wany                     | 12/24/08        |  |  |
| Chapter Inspection:  |                           |                                 | SSTOKE BUSINESS |  |  |
|  | rding Innovative Practice |                                 |                 |  |  |
| Inspector's Comments Regarding Innovative Practices:   |                           |                                 |                 |  |  |
| Command Suggestions for S  | tatewide Improvement:     |                                 |                 |  |  |
|  |                           | É.                              |                 |  |  |
|  |                           |                                 |                 |  |  |
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|  |                           |                                 |                 |  |  |
|  |                           |                                 |                 |  |  |

Area was found to be in compliance and functioning properly. All purchases were accounted for and properly documented. The Office Assistant was well versed regarding Department policy and procedures relating to purchases.

Inspector's Findings:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 2

| Command:                        | Division:  | Chapter:         |
|---------------------------------|------------|------------------|
| Riverside                       | Inland     | 3                |
| Inspected by:<br>Sgt. J. R. Woo | od, #11577 | Date: 12/15/2008 |

| Commander's Response:   |
|---|
| The Area Commander, T. M. McCreary, #11882, will continue to be diligent in ensuring the mandates set forth in Department policy regarding management and accountability of purchases are followed. |
|   |
| Inspector's Comments:   |
|   |
|   |
| Required Action   |
| Corrective Action Plan/Timeline   |

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Page | 3 |
|------|---|

Command: Division: Chapter: 3

Riverside Inland Date: Sgt. J. R. Wood, #11577

Date: 12/15/2008

12-15-08

|   | LUBE EW MASS |
|---|--------------|
| Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection). | Delivered.   |
| Commander's Basis for Appeal:   |              |
| Confinance s Basis for Appeal.  |              |
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| Appeal Review/Decision: (This shall be the only level of appeal).   |              |
|   |              |
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CHP 680A (Rev. 09-08) OPI 010

Lead Inspector's Signature:

nature: 11/5/7 54

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command: Riverside               | Division:<br>Inland | Number:          |
|----------------------------------|---------------------|------------------|
| Evaluated by:<br>Sgt. J. R. Wood |                     | Date: 12/15/2008 |
| Assisted by:                     |                     | Date:            |

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ○ Command Level ☐ Division Level UlVane ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: Follow-up Inspection Follow-up Required: 12/24/02 ⊠ No Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: N/A service contracts which are repetitive, regardless of ☐ Yes ∏ No the estimated dollar value? 2. Is a CHP 78 Contract Request used for one-time Remarks: N/A ☐ No Yes services exceeding \$4,999.99? Is the Office of Primary Interest (OPI) tracking Remarks: N/A ☐ Yes □No numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? Is the performance of contract services monitored Remarks: ⊠ N/A ☐ Yes ∏No and documented? 5. Are all copies of correspondence with the vendor Remarks: ⊠ N/A □No Yes maintained? Are letters for contracts documented and maintained Remarks: ⊠ N/A □ No which outline any problems related to substandard or ☐ Yes non-performance of the vendor? Is the final product to be delivered described Remarks: ☐ No ⊠ N/A Yes specifically and in as much detail as possible in the CHP 78? Are all required levels of approval/signature obtained, Remarks: ⊠ N/A including the required documentation and approvals ☐ Yes □No for expedite and emergency contracts per HPM 11.1. Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

**INSPECTION CHECKLIST** 

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| Are requests for contract services less than six<br>months from the anticipated start date of the contract<br>pre-approved by Assistant Commissioner, Staff, for<br>expedited processing?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
|--|-------|------|-------|----------|
| 10. Is all work completed and accepted by the<br>Department before expiration of contract agreement?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 11. Are contract services performed according to the<br>quality, quantity, objectives, timeframes, and in the<br>manner specified in the contract (e.g., review<br>progress reports and interim products)?                                     | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to<br>substantiate expenditures for work performed and to<br>prevent penalties being assessed?  | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled<br>all requirements of the contract before approving the<br>final invoice?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 18. Are all employees associated with the management<br>of a contract completing the CHP 78S, Conflict of<br>Interest Statement, Employee, form?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 20. Are contract amendment request dollar amounts  | ☐ Yes | □No  | ⊠ N/A | Remarks: |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 21. Is the length of the contract amendment request more than one year?  | _ ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
|--|---------|------|-------|----------|
| 22. Are amendments requested before the expiration of the original contract?   | ☐ Yes   | □No  | ⊠ N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request<br>initiated for any commercial meeting/conference<br>room rental which is expected to exceed \$4,999.99 in<br>total cost?   | ☐ Yes   | □No  | ⊠ N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?  | ☐ Yes   | □ No | ⊠ N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  | ☐ Yes   | □ No | ⊠ N/A | Remarks: |
| <ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>  |         |      |       |          |
| 26. Is a <u>driver license check</u> conducted for, but not<br>limited to, all of the following types of agreements, if<br>the contractor and/or specifically assigned personnel<br>are scheduled to be on-site for more than 30 days:   | ☐ Yes   | □ No | ⊠ N/A | Remarks: |
| <ul> <li>(1) Alarm and Fire Alarm Monitoring</li> <li>(2) Camera Maintenance and Repair</li> <li>(3) Carpet Installation</li> <li>(4) Diesel Generator Maintenance and Repair</li> <li>(5) Dishwasher Maintenance and Repair</li> <li>(6) Elevator Maintenance and Repair</li> <li>(7) Fire Extinguisher Service</li> <li>(8) Garage Door Maintenance and Repair</li> <li>(9) Graphic Arts Equipment Maintenance and Repair</li> <li>(10) Heating, Ventilation, and Air Conditioning Service</li> <li>(11) Laundry/Linen Service</li> <li>(12) Office Machine Maintenance and Repair</li> <li>(13) Painting Services (interior of facility)</li> <li>(14) Plumbing Services</li> <li>(15) Scale Maintenance and Repair</li> <li>(16) Steam Cleaning Services (Carpet, not scales)</li> <li>(17) Telephone Services (cellular, satellite, and regular)</li> <li>(18) Television Equipment Maintenance and Repair</li> <li>(19) Uninterruptible Power Supply Maintenance and Repair</li> </ul> |         |      |       |          |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 27. | Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | ☐ Yes | □ No | ⊠ N/A | Remarks: |
|-----|---|-------|------|-------|----------|
| 28. | Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 29. | Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 30. | Is a log sheet maintained for a diary of activities related to the contract?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 31. | Is a computer file prepared for all contracts administered?   | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 32. | Is a spreadsheet prepared listing all expenditures?   | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 33. | Is the notification to the contractor documented for the start date for services to begin?  | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 34. | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 35. | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 36. | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ☐ Yes | ∏ No | ⊠ N/A | Remarks: |
| 37. | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 38. | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 39. | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)   | ☐ Yes | □No  | ⊠ N/A | Remarks: |

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#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command: Division: Riverside |  | Chapter: |  |  |
|------------------------------|--|----------|--|--|
| Inspected by:                |  | Date:    |  |  |
| Sat. J. R. Wood. #11577      |  | 12/15/08 |  |  |

| INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. |                           |  |          |  |  |  |
|--|---------------------------|--|----------|--|--|--|
| TYPE OF INSPECTION   |                           | Corrective Action Plan Included  |          |  |  |  |
| ☐ Division Level ☐ Command L   | _evel                     | Appeal Included  |          |  |  |  |
| Executive Office Level   |                           | Attachments Included   |          |  |  |  |
| Follow-up Required:  | Forward to:               | Commander's Signature:   | Date:    |  |  |  |
| ☐ Yes  | Due Date:                 | 7.7 h  | 12/24/08 |  |  |  |
| Chapter Inspection:  |                           |  |          |  |  |  |
| 17. 14. 15. 15. 15. 15. 15. 15. 15. 15. 15. 15   | rding Innovative Practice | is the state of th |          |  |  |  |
| Inspector's Comments Regarding Innovative Practices:   |                           |  |          |  |  |  |
| Command Suggestions for Statewide Improvement:   |                           |  |          |  |  |  |
|  |                           |  |          |  |  |  |

There were no contracts written by the Area command. The only contracts in place were written by

Inspector's Findings:

Headquarters Facilities Section.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

| Command: Division: Inland                |  | Chapter: 3     |  |  |
|--|--|----------------|--|--|
| Inspected by:<br>Sgt. J. R. Wood, #11577 |  | Date: 12/15/08 |  |  |

| Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection). |          |  |  |  |
|---|----------|--|--|--|
| Commander's Basis for Appeal:   |          |  |  |  |
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| Appeal Review/Decision: (This shall be the only level of appeal).   |          |  |  |  |
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|   |          |  |  |  |
|   | Date:    |  |  |  |
| Lead Inspector's Signature:  Responding Commander's Signature (for appeal):                                 | 12-15-58 |  |  |  |
| Responding Commander's Signature (for appeal):  | Date:    |  |  |  |
|   |          |  |  |  |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command: Division: Riverside Inland |                     | Number: |
|-------------------------------------|---------------------|---------|
| Evaluated by:<br>SGT. J. R. Wood    | Date: 12/15/2008    |         |
| Assisted by:<br>OSS1 Maria Sar      | Date:<br>12/15/2008 |         |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION                                   |  |                               | Lead Inspector's digitatore. |                |       |   |
|--|--|-------------------------------|------------------------------|----------------|-------|---|
| ☐ Division Level ☐ Command Level                     |  | ( )                           | 7/1/                         | 14-1           | /     |   |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection |  |                               |                              | 1000           | 1 and | •   |
| 111  | llow-up Required: ☐ Follow-up  | Inspection                    | Commande                     | r's Signature: | -     | Date: 12/24/00  |
| For ap   | plicable policy, refer to: HPM 11.2, C   | hapter 3                      |                              |                |       | · · · · · · · · · · · · · · · · · · ·                   |
| 1.   | Are all employees associated with the us<br>Card program completing the CHP 78S,<br>Interest Statement, Employee, form?        | se of the Cal-<br>Conflict of | ☐ Yes                        | □No            | ⊠ N/A | Remarks:Not yet written into manual.                    |
| 2.   |  | cations<br>d file for         | Yes                          | ⊠ No           | □ N/A | Remarks:  |
| 3.   | Are STD. 204 Payee Data Record forms in the Cal Card command file for each veutilized?   | maintained<br>endor           | ☐ Yes                        | ⊠ No           | □ N/A | Remarks:  |
| 4.   | Are California Integrated Waste Manage Form 74 documents maintained for each utilized?   | ment Board<br>vendor          | ☐ Yes                        | □No            | ⊠ N/A | Remarks:There are no vendors used for Waste Management. |
| 5.   | If the vendor is a small business or DVB is the certification letter from the Departr General Services maintained in the file? | E is utilized,<br>nent of     | ☐ Yes                        | ⊠ No           | □ N/A | Remarks:  |
| 6.   | When fair and reasonable is utilized, is the reasonable method documented and projustified?                                    | ne fair and<br>operly         | ☐ Yes                        | □No            | ⊠ N/A | Remarks:Fair and reasonable method was not utilized.    |
| 7.   | Are purchases split into multiple transact to circumvent transaction purchase limits   |                               | ☐ Yes                        | ⊠ No           | □ N/A | Remarks:  |
| 8.   | Does the CHP 317 Cal Card Log fully de purchase?   | escribe the                   | ⊠ Yes                        | ☐ No           | □ N/A | Remarks:  |
| 9.   | Are bank statements reconciled with the Cal Card Log and the receipts/invoices?  |                               | ⊠ Yes                        | □ No           | □ N/A | Remarks:  |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10. Is the CHP 317 Cal Card Log properly authorized and maintained?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
|--|-------|------|-------|----------|
| Are credit invoices/receipts for returned items maintained with the bank statement?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 12. Do non-itemized purchase receipts/invoices<br>document the purchase by listing the commodity,<br>quantity, and unit price of the item(s) purchased on<br>the bank statement. | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 13. Are Cal Cards maintained in a secure area?   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 14. Are Cal Card purchases pre-approved by the commander?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 15. Have all cardholders received training on the Department's procurement processes?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| Are item(s) purchased with the Cal Card prohibited by departmental policy?   | ☐ Yes | ⊠ No | □ N/A | Remarks: |

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Riverside | Division:<br>Inland | Chapter:<br>3 |
|-----------------------|---------------------|---------------|
| Inspected by:         |                     | Date:         |
| Sat. J. R. Wo         | od, #11577          | 12/15/2008    |

| INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. |           |                                   |             |  |  |  |
|--|-----------|-----------------------------------|-------------|--|--|--|
| TYPE OF INSPECTION   |           | ☐ Corrective Action Plan Included |             |  |  |  |
| ☐ Division Level ☐ Command L   | evel      | Appeal Included                   |             |  |  |  |
| ☐ Executive Office Level   |           | Attachments Included              |             |  |  |  |
| Follow-up Required: Forward to:  |           | Commander's Signature:            | Date:       |  |  |  |
| ☐ Yes ⊠ No   | Due Date: | T. 7 - my                         | 12/24/08    |  |  |  |
| Chapter Inspection:  |           |                                   | n Paradakan |  |  |  |
| Inspector's Comments Regarding Innovative Practices: N/A   |           |                                   |             |  |  |  |

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Command Suggestions for Statewide Improvement:

#### Inspector's Findings:

- Policy regarding the CHP 78S is not currently written into HPM 11.1, as it relates to Cal Card Purchases. It is however on the check-sheet. It was found a revision to HPM 11.1 will be completed in the future which will make the CHP 78S mandatory.
- 2. There are no current STD 21 (Drug Free Workplace certifications) maintained within the Cal Card command file for each vendor utilized.
- 3. There are no current STD 204 (Payee Data Record forms) maintained within the Cal Card command file for each vendor utilized.
- 4. There are no DGS certification letters for small business or DVBE maintained within the Cal Card command file for each small business utilized.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT Page 2

| Command:                        | Division:  | Chapter:          |  |  |
|---------------------------------|------------|-------------------|--|--|
| Riverside                       | Inland     | 3                 |  |  |
| Inspected by:<br>Sgt. J. R. Woo | od, #11577 | Date:<br>12/15/08 |  |  |

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The Area Commander, T. M. McCreary, #11882, will continue to be diligent in ensureing the mandates set forth in Departmental policy regarding management and accountability of the Cal-Card Program are followed.

| Inspector's | Comments: |
|-------------|-----------|
|-------------|-----------|

#### Required Action

Corrective Action Plan/Timeline

1. STD 21, STD 204, and small business or DVBE certification letter discrepancies. Although the Area had several expired STD 21 & STD 204's on file there were none that were current. There were no small business certification letters on file. To correct these problems a suspense file will be made for these forms, which will prompt the clerical staff to obtain a new form at the time of expiration (3 years). With all new purchases the Cal Card holders will ensure these forms are completed and placed into the suspense file.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Lead Inspector's Signature:                    | Date: |
|--|-------|
| Responding Commander's Signature (for appeal): | Date: |
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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| Command:       | Division: | Number:  |
|----------------|-----------|----------|
| Barstow        | Inland    |          |
| Evaluated by:  | Date:     |          |
| Lieutenant Je  | 12-02-08  |          |
| Assisted by:   |           | Date:    |
| Rosanna Lafler |           | 12-02-08 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Follow-up Required: 12-208 ☐ Follow-up Inspection Yes  $\bowtie$  No For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: Bobbie Spliethof has been command level familiar with the related policies and X Yes □ No □ N/A recently assigned to this position and procedures for purchasing? her training is on-going. Have Approvers/reviewers of purchases received Remarks: Captain Bridges and procurement training? ⊠ Yes □ No □ N/A Lieutenant Klug received training at MMTC. Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? ☐ Yes ⊠ No □ N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from Remarks: X Yes ∏ No □ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? ⊠ Yes □ No  $\square$  N/A Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each Remarks: Two requisitions were Yes ⊠ No  $\square$  N/A issued the same number. fiscal year (July 1)? Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for Remarks: ⊠ Yes ☐ No □ N/A approval?

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| _ |   |       |      |       |   |
|---|---|-------|------|-------|---|
|   | 8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?   |       | □No  | □ N/A | Remarks:  |
|   | <ol><li>Are the CHP 43, Purchase Requisitions, competitively bid?</li></ol>   | ⊠ Yes | □No  | □ N/A | Remarks:  |
|   | 10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?   | ☐ Yes | ⊠ No | □ N/A | Remarks: Audit revealed requisition # 8513 had no CHP 315 attached. |
|   | 11. Are Limited Competitive Bidding purchase requests<br>that limit or restrict the purchase to one specific<br>brand or model justified and in compliance with SAM<br>3555?                                    | ⊠ Yes | □No  | □ N/A | Remarks:  |
|   | 12. Are Limited Competitive Bidding purchase requests<br>for items that interface with existing departmental<br>equipment in compliance with SAM 3555.3?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
|   | 13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
|   | 14. Are items checked immediately for content and damage when delivered?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
|   | 15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted? | ⊠ Yes | □ No | □ N/A | Remarks:  |
|   | Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?   | ⊠ Yes | □ No | □ N/A | Remarks:  |
|   | 17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?   | ⊠ Yes | □ No | □ N/A | Remarks:  |
|   | 18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
|   | 19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?  | ⊠ Yes | □ No | □ N/A | Remarks:  |
|   |   |       |      | 1 11  |   |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

|   | 20. Is Purchasing Services Unit (PSU) notified<br>immediately by telephone, followed in writing either<br>by a memorandum or e-mail, requesting cancellation<br>of the requisition or deletion of an item, if it is<br>determined that a commodity requested on a CHP 43<br>is no longer needed and a purchase order has not<br>yet been prepared? | ⊠ Yes | □No  | □ N/A | Remarks: |
|---|--|-------|------|-------|----------|
|   | <ol> <li>Are open purchase orders periodically reviewed and<br/>investigated to ensure the orders are not opened for<br/>an unreasonable length of time. (SAM 8422.0)</li> </ol>   | ⊠ Yes | □ No | □ N/A | Remarks: |
|   | 22. Are copies of the purchase requisitions and purchase<br>orders maintained for three years after payment?<br>(SCM Vol. II, Ch. 11, Topic 4)   | ⊠ Yes | □ No | □ N/A | Remarks: |
|   | 23. Are decisions documented to create a paper trail<br>documenting the basis of the decisions made for the<br>purchase? (SCM Vol II Ch. 2, Topic 11)  | ⊠ Yes | □No  | □ N/A | Remarks: |
| P | 24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)   | ☐ Yes | ⊠ No | □ N/A | Remarks: |

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:                | Division | Chapter: |
|-------------------------|----------|----------|
| Barstow Area            | Inland:  | Three    |
| Inspected by:           |          | Date:    |
| Lieutenant Jeffrey Klug |          | 12-03-08 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION

Corrective Action Plan Included

Division Level Command Level

| TYPE OF INSPECTION               |  | ☐ Corrective Action Plan Included |                          |  |
|----------------------------------|--|-----------------------------------|--------------------------|--|
| ☐ Division Level ☐ Command Level |  | Appeal Included                   |                          |  |
| ☐ Executive Office Level         |  | Attachments Included              |                          |  |
| Follow-up Required:              | Forward to:  | Commander's Signature:            | Date:                    |  |
| ☐ Yes   ☑ No                     | Due Date:  | M/Didge                           | 12-10.0f                 |  |
| Chapter Inspection: Chapter      | 3, Command Procureme   | ents/Purchases                    |                          |  |
| Inspector's Comments Rega        | CENTRAL PROPERTY OF THE PROPER |                                   | <b>7.33</b> 11.134.182.8 |  |
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|                                  |  |                                   |                          |  |
| Command Suggestions for S        | tatewide Improvement:  |                                   |                          |  |
|                                  |  |                                   |                          |  |
|                                  |  |                                   |                          |  |
|                                  |  |                                   |                          |  |
|                                  |  |                                   | (*)                      |  |
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6 &10 Two separate requisitions were issued the same number (8513) and requisition number 8513 had three price quotes but no Price Comparison Worksheet (CHP 315) was attached. Barstow Area corrected the problem with the same number being issued for two separate requisitions and attached a CHP 315 with requisition number 8513.

Inspector's Findings:

# STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT Page 3

| Command:      | Division: | Chapter: |  |
|---------------|-----------|----------|--|
| Inspected by: |           | Date:    |  |

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| Appeal Process: (Appeals shall be filed within five (5) business days of the   | e completed chapter inspection).   |
| Commander's Basis for Appeal:  |  |
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| Annual Daviour/Dagisian: (This should be seen to be should   |  |
| Appeal Review/Decision: (This shall be the only level of appeal).  |  |
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| Lead Inspector's Signature   | Date: 12-10-08   |
| C/Cray FN  |  |
| Responding Commander's Signature (for appeal).   | Date:  |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command:<br>Barstow                      | Division:<br>Inland | Number:        |  |
|--|---------------------|----------------|--|
| Evaluated by:<br>Lieutenant Jeffrey Klug |                     | Date: 12-03-08 |  |
| Assisted by:<br>Rosanna Lafler           |                     | Date: 12-03-08 |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE  | OF INSPECTION  | Lead Insp | ector's Signat | ure:  | //                   |
|-------|--|-----------|----------------|-------|----------------------|
| ☐ Div | vision Level   | 1/1       | $\Lambda M$    | 111   | //M                  |
| ☐ Ex  | ecutive Office Level  Voluntary Self-Inspection  | '//"      | bil            | 14    | Ny                   |
| Fo    | ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No   | Command   | er's Signature | 5. In | Date: 12.3.08        |
| For a | oplicable policy, refer to: HPM 11.2, Chapter 3  |           |                |       | 8                    |
| 1.    | Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ☐ Yes     | ⊠ No           | □ N/A | Remarks: See page 3. |
| 2,    | Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?                               | ☐ Yes     | ⊠ No           | □ N/A | Remarks: See page 3. |
| 3.    | Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?   | ☐ Yes     | ⊠ No           | □ N/A | Remarks: See page 3. |
| 4.    | Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?  | ☐ Yes     | ⊠ No           | □ N/A | Remarks: See page 3. |
| 5.    | If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file? | ☐ Yes     | ⊠ No           | □ N/A | Remarks: See page 3. |
| 6.    | When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?   | ⊠ Yes     | ☐ No           | □ N/A | Remarks:             |
|       | Are purchases split into multiple transactions in order to circumvent transaction purchase limits?   | Yes       | ⊠ No           | □ N/A | Remarks:             |
| 8.    | Does the CHP 317 Cal Card Log fully describe the purchase?   | ⊠ Yes     | ☐ No           | □ N/A | Remarks:             |
| 9.    | Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?  | ⊠ Yes     | ☐ No           | □ N/A | Remarks:             |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10. Is the CHP 317 Cal Card Log properly authorized and maintained?  | ⊠ Yes | □No  | □ N/A | Remarks: |
|--|-------|------|-------|----------|
| Are credit invoices/receipts for returned items maintained with the bank statement?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 12. Do non-itemized purchase receipts/invoices<br>document the purchase by listing the commodity,<br>quantity, and unit price of the item(s) purchased on<br>the bank statement. | ⊠ Yes | □ No | □ N/A | Remarks: |
| 13. Are Cal Cards maintained in a secure area?   | ⊠ Yes | ∏No  | □ N/A | Remarks: |
| 14. Are Cal Card purchases pre-approved by the commander?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 15. Have all cardholders received training on the<br>Department's procurement processes?   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 16. Are item(s) purchased with the Cal Card prohibited by departmental policy?   | ☐ Yes | ⊠ No | □ N/A | Remarks: |

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:                | Division | Chapter: |
|-------------------------|----------|----------|
| Barstow Area            | Inland:  | Three    |
| Inspected by:           |          | Date:    |
| Lieutenant Jeffrey Klug |          | 12-03-08 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Forward to: Commander's Signature: Date: Follow-up Required: 12-16-18 ☐ Yes ⊠ No Due Date: Chapter Inspection: Chapter 3, Command Procurements/Cal-Card Program Inspector's Comments Regarding Innovative Practices: Command Suggestions for Statewide Improvement:

- Only one employee utilizing the Cal-Card program had a completed CHP 78S. Area had all Cal-Card program employees complete a CHP 78S. All CHP 78S's were placed in their personnel files.
- 2. No STD 21 Drug Free Workplace certifications were located within the Cal Card command file for each vendor utilized. Area has established a process to ensure a STD 21 is kept on file for each vendor utilized.

Inspector's Findings:

#### **COMMAND INSPECTION PROGRAM**

#### **EXCEPTIONS DOCUMENT**

- 3. No STD 204 Payee Data Record forms were located within the Cal Card command file for each vendor utilized. Area has established a process to ensure a STD 204 is kept on file for each vendor utilized.
- 4. No California Integrated Waste Management Board Form 74 documents were maintained on file for each vendor utilized. Area has established a process to ensure Form 74 documents are kept on file for each vendor utilized.
- 5. No certification letters from the Department of General Services were maintained on file for each vendor utilized. Area has established a process to ensure certification letters are kept on file for each vendor utilized.

| Division: | Chapter:  |       |
|-----------|-----------|-------|
|           | Date:     |       |
|           | Division: | WHOAS |

Page 2

| Commander's Response: |  |  |
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| Inspector's Comments: |  |  |
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Required Action

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Corrective Action Plan/Timeline

| Command:      | Division:       | Chapter:     |
|---------------|-----------------|--------------|
| Barstow       | Inland Division | 3 (Cal Card) |
| Inspected by: |                 | Date:        |
| Jeffrey Klug  |                 | 12-03-09     |

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

# STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Appeal Review/Decision:            | (This shall be the only level of appeal). |               |
|------------------------------------|---|---------------|
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| , ,                                |   |               |
| Lead Inspector's Signature:        | Mlsw                                      | Date: 12-3.08 |
| Responding Commander's Signature ( | for appeal):                              | Date:         |

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command:                | Division: | Number:  |
|-------------------------|-----------|----------|
| Barstow                 | Inland    |          |
| Evaluated by:           | Date:     |          |
| Lieutenant Jeffrey Klug |           | 12-09-08 |
| Assisted by:            | Date:     |          |
| Rosanna Lafle           | 12-09-08  |          |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE  | OF I   | NSPECTION  |   | Lead Insp | ector's Signat | ure:  |   |
|---|--------|--|---|-----------|----------------|-------|---|
|   | Divisi | on Level   |   | 10.       | //             | M     | 1.  |
|   | хес    | utive Office Level   | ☐ Voluntary Self-Inspection   | 1/1/1     | YVW) '         | 11/1  | 14  |
|   |        | ow-up Required:<br>Yes 🔀 No  | ☐ Follow-up Inspection  | Command   | er's Signature | 2, de | Date: /2 - /8 - Ad  |
| For applicable policy, refer to: HPM 11.1, Chapter 23 |        |  |   | L         |                |       |   |
|   |        | Are multiple X Numbers o circumvent the \$4,99                             | awarded to the same vendor 9 contract limit?  | ☐ Yes     | ⊠ No           | □ N/A | Remarks:  |
| 2   |        | Does all X Number file o<br>STD. 204 Payee Data F                          | documentation contain the Record?   | ☐ Yes     | ⊠ No           | □ N/A | Remarks: Barstow Area will ensure all x numbers will contain a STD 204. |
| 3   | la     |  | g a contract (i.e., janitorial or approval from the Business ander?                   | ⊠ Yes     | ☐ No           | □ N/A | Remarks:  |
| 2   |        | Are X Number requests<br>ervices are performed?                            | made prior to the date the  | ⊠ Yes     | □No            | □ N/A | Remarks:  |
| 5   | . А    | re X Numbers issued f  | or a one-time use?  | ⊠ Yes     | □No            | □ N/A | Remarks:  |
| 6   |        | re prohibited services<br>lumber?  | performed using an X  | Yes       | ⊠ No           | □ N/A | Remarks:  |
| 7   |        | re X Numbers used for<br>ervice and not the purc                           |   | ⊠ Yes     | ☐ No           | □ N/A | Remarks:  |
| 8   | re     | re X Numbers issued for<br>elated services pre-app<br>elecommunications Se | roved by  | ⊠ Yes     | □ No           | □ N/A | Remarks:  |
| 9   | (s     |  | facilities related services<br>ctrical) costing over \$1,000<br>n Facilities Section? | ⊠ Yes     | □No            | □ N/A | Remarks:  |
| 1   | ag     | o X Numbers issued fo<br>greements have prior a<br>ssistant Commissioner   | pproval by the appropriate  | ⊠ Yes     | □No            | □ N/A | Remarks:  |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
|---|-------|------|-------|--|
| 12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)? | ☐ Yes | ⊠ No | □ N/A | Remarks: Barstow Area will ensure all x numbers awarded to small business will have a small business certificate from DGS. |
| 13. Does the file documentation contain the STD. 21<br>Drug Free workplace certification for X Number<br>vendors?                               | ☐ Yes | ⊠ No | □ N/A | Remarks: Barstow Area will ensure all x numbers will contain a STD 21.   |
| 14. Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 15. Is the itemized invoice for each X Number service maintained in the command's files?  | ⊠ Yes | ☐ No | □ N/A | Remarks:   |

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:         | Division | Chapter: |
|------------------|----------|----------|
| Barstow Area     | Inland:  | Three    |
| Inspected by:    |          | Date:    |
| Lieutenant Jeffi | ey Klug  | 12-09-08 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| auditional space is required.                 |                                 |
|---|---------------------------------|
| TYPE OF INSPECTION                            | Corrective Action Plan Included |
| ☐ Division Level ☒ Command Level              | ☐ Appeal Included               |
| Executive Office Level                        | Attachments Included            |
| Follow-up Required: Forward to:               | Commander's Signature Date:     |
| ☐ Yes ☐ No Due Date:                          | _ (1) Didyes 12.10.0            |
| Chapter Inspection: Chapter 3, X-Number Progr | ram                             |
| Inspector's Comments Regarding Innovative Pr  | actices:                        |
|   |                                 |
| Command Suggestions for Statewide Improvem    | nent:                           |
|   |                                 |

- 2. Barstow Area will ensure all x numbers will contain a STD 204.
- 12. Barstow Area will ensure all x numbers awarded to small business will have a small business certificate from DGS.
- 13. Barstow Area will ensure all x numbers will contain a STD 21.

Inspector's Findings:

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 2

| Command:      | Division: | Chapter:       |
|---------------|-----------|----------------|
| Barstow       | Inland    | 3 ( X numbers) |
| Inspected by: |           | Date:          |
| Jeffrey Klug  |           | 12-09-08       |

| Commander's Response:          |          |
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| equired Action                 | S-17     |
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| orrective Action Plan/Timeline | -11 31   |

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Page | - |
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| raue | • |

Command: Division: Chapter: 3 (X numbers)
Inspected by: Date: 12-09-08

| Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection). |  |
|---|--|
| Commander's Basis for Appeal:   |  |
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| Appeal Review/Decision: (This shall be the only level of appeal).   |  |
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Lead Inspector's Signature:

Date: 12 - 9 - 08

CHP 680A (Rev. 09-08) OPI 010

1 of 6

Page

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command:<br>Barstow     | Division:<br>Inland | Number:  |
|-------------------------|---------------------|----------|
| Evaluated by:           | Date:               |          |
| Lieutenant Jeffrey Klug |                     | 12-04-08 |
| Assisted by:            | Date:               |          |
| Rosanna Lafler          | 12-04-08            |          |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION  |   | Lead Inspe                            | ector's Signati | ure:  | 1        |               |
|---|---|---------------------------------------|-----------------|-------|----------|---------------|
| ☐ Division Level ☐ Com  | nmand Level                             | 1//                                   | MAM             | 1/1   | Vav      |               |
| Executive Office Level  | ntary Self-Inspection                   | \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ | 1               |       | Cig      |               |
| Follow-up Required: ☐ F   | ollow-up Inspection                     | Command                               | er Signature    | 510   | ly es    | Date: 12-10-8 |
| For applicable policy, refer to: HPM  | 11.1, Chapter 22                        |                                       |                 |       |          |               |
| Is a CHP 78 Contract Request u<br>service contracts which are repe<br>the estimated dollar value?   |   | ⊠ Yes                                 | □ No            | □ N/A | Remarks: |               |
| 2. Is a CHP 78 Contract Request uservices exceeding \$4,999.99?   | used for one-time                       | ⊠ Yes                                 | ☐ No            | □ N/A | Remarks: |               |
| <ol> <li>Is the Office of Primary Interest (<br/>numbering beginning with the red<br/>three-digit location code used, fo<br/>contract payable listed on the Ch</li> </ol> | questing command                        | ⊠ Yes                                 | □ No            | □ N/A | Remarks: |               |
| Is the performance of contract se<br>and documented?  | ervices monitored                       | ⊠ Yes                                 | □No             | □ N/A | Remarks: |               |
| 5. Are all copies of correspondence maintained?   | with the vendor                         | ⊠ Yes                                 | □No             | □ N/A | Remarks: |               |
| 6 Are letters for contracts documer<br>which outline any problems relate<br>non-performance of the vendor?  |   | ⊠ Yes                                 | ☐ No            | □ N/A | Remarks: |               |
| <ol> <li>Is the final product to be delivered<br/>specifically and in as much detail<br/>CHP 78?</li> </ol>   |   | ⊠ Yes                                 | □No             | □ N/A | Remarks: |               |
| 8. Are all required levels of approva<br>including the required documenta<br>for expedite and emergency cont<br>Chapter 22, before forwarding the<br>78A?                 | ation and approvals racts per HPM 11.1, | ⊠ Yes                                 | □No             | □ N/A | Remarks: |               |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

|   | 9. Are requests for contract services less than six<br>months from the anticipated start date of the contract<br>pre-approved by Assistant Commissioner, Staff, for<br>expedited processing?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
|---|---|-------|------|-------|--|
|   | 10. Is all work completed and accepted by the<br>Department before expiration of contract agreement?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
|   | 11. Are contract services performed according to the<br>quality, quantity, objectives, timeframes, and in the<br>manner specified in the contract (e.g., review<br>progress reports and interim products)?                                    | ⊠ Yes | □No  | □ N/A | Remarks:   |
|   | 12. Are invoices for payment reviewed and approved to<br>substantiate expenditures for work performed and to<br>prevent penalties being assessed?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
|   | 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
|   | 14. Does the requestor verify the contractor has fulfilled<br>all requirements of the contract before approving the<br>final invoice?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
|   | 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?  | ⊠ Yes | ☐ No | □ N/A | Remarks:   |
|   | 6. Are all applicable form sections of the CHP 78 completed?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
|   | 7. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 1 | 8. Are all employees associated with the management<br>of a contract completing the CHP 78S, Conflict of<br>Interest Statement, Employee, form?   | ⊠ Yes | □ No | □ N/A | Remarks:Updated and maintained in each personnel file. |
| 1 | 9. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 2 | Are contract amendment request dollar amounts increased more than 30%?  | ☐ Yes | ⊠ No | □ N/A | Remarks:   |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| 21. Is the length of the contract amendment request more than one year?  | ☐ Yes | ⊠ No | □ N/A | Remarks:  |
|--|-------|------|-------|---|
| 22. Are amendments requested before the expiration of the original contract?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 23. Is a service contract on a CHP 78, Contract Request<br>initiated for any commercial meeting/conference<br>room rental which is expected to exceed \$4,999.99 in<br>total cost?   | ☐ Yes | □No  | ⊠ N/A | Remarks:No contracts for room rental obtained.                      |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?  | ☐ Yes | □No  | ⊠ N/A | Remarks: No contracts for room rental obtained.                     |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services   | ⊠ Yes | □No  | □ N/A |   |
| limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair | ☐ Yes | □ No | ⊠ N/A | Remarks: No agreement/contacts were obtained for more than 30 days. |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| 27  | . Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | ⊠ Yes | □No  | □ N/A |   |
|-----|---|-------|------|-------|---|
| 28  | Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ☐ Yes | □No  | ⊠ N/A | Remarks: No agreement/contacts were obtained for more than 30 days. |
| 29  | Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?   | ⊠ Yes | ☐ No | □ N/A | Remarks:  |
| 30  | Is a log sheet maintained for a diary of activities related to the contract?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 31. | Is a computer file prepared for all contracts administered?   | ⊠ Yes | □No  | □ N/A | Remarks: Updated file.  |
| 32. | Is a spreadsheet prepared listing all expenditures?   | ⊠ Yes | ☐ No | □ N/A | Remarks: Updated file.  |
| 33. | Is the notification to the contractor documented for the start date for services to begin?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 34. | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
|     | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ☐ Yes | □No  | ⊠ N/A | Remarks: No consultant service contracts were obtained.             |
| 36. | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ☐ Yes | □ No | ⊠ N/A | Remarks: No consultant service contracts were obtained.             |
| 37. | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 38. | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ⊠ Yes | □ No | □ N/A | Remarks:  |
| 39. | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)   | ☐ Yes | ⊠ No | □ N/A | Remarks:  |

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:                | Division | Chapter: |
|-------------------------|----------|----------|
| Barstow Area            | Inland:  | Three    |
| Inspected by:           |          | Date:    |
| Lieutenant Jeffrey Klug |          | 12-04-08 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional operation of an extra section of the sec |                           |                                   |                |
|--|---------------------------|-----------------------------------|----------------|
| TYPE OF INSPECTION   |                           | ☐ Corrective Action Plan Included |                |
| ☐ Division Level ☐ Command I   | Level                     | ☐ Appeal Included                 |                |
| ☐ Executive Office Level   |                           | Attachments Included              |                |
| Follow-up Required:  | Forward to:               | Commander's Signature:            | Date:          |
| ☐ Yes  | Due Date:                 | Ut did to                         | 12-10.04       |
| Chapter Inspection: Chapter  | 3. Command Procureme      | ents/Contracts                    | 的名字 "我是是你是人物的话 |
| THE STANDARD WITH THE PROPERTY OF THE PROPERTY | <b>公园的生成的现在分词</b>         |                                   |                |
| Inspector's Comments Rega  | rding innovative Practice | <del>2</del> 8:                   |                |
|  |                           |                                   |                |
| Command Suggestions for S  | tatewide Improvement:     |                                   |                |
|  |                           | N.                                |                |
| Inspector's Findings:  |                           |                                   |                |

- 18. All employees associated with the management of contracts completed a CHP 78S. All CHP 78S's were placed in each employee's personnel file.
- 31. The Barstow Area computer file of all contracts was updated.
- 32. The Barstow Area spreadsheet of all contracts was updated.

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:                      | Division: | Chapter: 3               |
|-------------------------------|-----------|--------------------------|
| Barstow                       | Inland    | (Procurements/Contracts) |
| Inspected by:<br>Jeffrey Klug |           | Date: 12-04-08           |

Page 5

| Commander's Response: |  |  |
|-----------------------|--|--|
|                       |  |  |

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command: Division: Chapter: 3 (Procurements/Contracts)
Inspected by: Date: 12-04-09

Page 3

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|--|---|
| Appeal Process:                                | (Appeals shall be filed within five (5) business days of the completed chapter inspection). |
|  |   |
| Commander's Bas                                | sis for Appeal:   |

Appeal Review/Decision: (This shall be the only level of appeal).

#### **COMMAND INSPECTION PROGRAM**

**EXCEPTIONS DOCUMENT** 

| Lead Inspector's Signature:                    | Date: 12.4.08 |
|--|---------------|
| Responding Commander's Signature (for appeal): | Date:         |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

| Command:<br>Needles               | Division: Inland | Number: 834      |
|-----------------------------------|------------------|------------------|
| Evaluated by:<br>Lt. J. P. Rasmus | ssen             | Date: 01/05/2009 |
| Assisted by:                      |                  | Date:            |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: X Command Level ☐ Division Level ☐ Executive Office Level Voluntary Self-Inspection Date: 01/05/2009 Commander's Signature: Follow-up Required: Follow-up Inspection | | Yes X No. For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: command level familiar with the related policies and X Yes No. □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: Commander and OAII X Yes □No □ N/A procurement training? Are prohibited items procured on CHP 43, Purchases Remarks: □ N/A Requisitions? ☐ Yes X No Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions. Remarks: prepared for commodity items obtainable from ☐ Yes ΠNο X N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: □ N/A Purchase Requisition? X Yes □No 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: □ No □ N/A consecutively, starting anew at the beginning of each X Yes fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: ☐ Yes X N/A forwarded to the Assistant Commissioner, Staff, for ☐ No approval?

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 8.  | Do specialized items purchased contain the appropriate Division, and/or OPI approvals?  | X Yes | ☐ No | □ N/A | Remarks:                                     |
|-----|---|-------|------|-------|--|
| 9.  | Are the CHP 43, Purchase Requisitions, competitively bid?   | X Yes | □No  | □ N/A | Remarks:                                     |
| 10  | . Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?   | X Yes | □No  | □ N/A | Remarks:                                     |
| 11  | . Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?   | ☐ Yes | □ No | X N/A | Remarks:                                     |
| 12. | . Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?  | ☐ Yes | □No  | X N/A | Remarks:                                     |
| 13. | Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  | ☐ Yes | □No  | X N/A | Remarks:                                     |
| 14. | Are items checked immediately for content and damage when delivered?  | X Yes | □No  | □ N/A | Remarks:                                     |
| 15. | Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted? | X Yes | □ No | □ N/A | Remarks:                                     |
| 16. | Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?   | X Yes | □No  | □ N/A | Remarks:                                     |
| 17. | Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?   | X Yes | □No  | □ N/A | Remarks:                                     |
|     | Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  | X Yes | □No  | □ N/A | Remarks:                                     |
| 19. | Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?  | ☐ Yes | X No | □ N/A | Remarks: Area does not accept damaged items. |
|     |   |       |      |       | -  |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared? | ☐ Yes | □ No | X N/A | Remarks: |
|--|-------|------|-------|----------|
| 21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)   | X Yes | □ No | □ N/A | Remarks: |
| 22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)   | X Yes | □No  | □ N/A | Remarks: |
| 23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)  | X Yes | □ No | □ N/A | Remarks: |
| 24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Rublic Contracts Code Section 10329)  | ☐ Yes | X No | □ N/A | Remarks: |

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Needles               | Division: Inland | Chapter: 3       |
|-----------------------------------|------------------|------------------|
| Inspected by:<br>Lt. J. P. Rasmus | ssen             | Date: 01/05/2009 |

| number of the inspection in the Chapte shall be routed to and its due date. The | er Inspection number. Under "Fo<br>his document shall be utilized to o     | oxes as necessary, or fill in the blanks as indicated by a necessary, or fill in the blanks as indicated by a new the next level of command whe document innovative practices, suggestions for the used to appeal findings. A CHP 51 Memorated by the necessary and the necessary as the necessary and the n | re the document<br>statewide |
|---|--|--|------------------------------|
| TYPE OF INSPECTION  |  | Corrective Action Plan Included  |                              |
| ☐ Division Level X Command Level  |  | Appeal Included  |                              |
| ☐ Executive Office Level  |  | │  |                              |
| Follow-up Required:   | Forward to:<br>Inland Division   | Commander's Signature:   | Date: 01/05/2009             |
| ☐ Yes X No  | Due Date: 12/31/2009 <   | Thammed it   | 01/05/2009                   |
| Chapter Inspection:   | o mentro e en promoto e e establica<br>A e qual travellaria del minura del |  |                              |
| Inspector's Comments Regar  | rding Innovative Practice  | es:  |                              |
| N/A   |  |  |                              |
| Command Suggestions for S   | tatewide Improvement:  |  |                              |
| N/A   |  | N .  |                              |
| Inspector's Findings:   |  |  |                              |

All CHP 43 Purchase Requisitions and CHP 315 Price Comparison forms are maintained in a three ring binder in the clerical office. All paperwork is readily accessible along with a log for tracking of all requisitions. The Area Commander takes an active role and approves all requisitions and for the most part has completed a majority of the requisitions himself. Outside of quarterly requisitions only budget items requisitions have been completed.

#### **COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT**

Page 2

| Command:       | Division: Inland | Chapter: 3 |
|----------------|------------------|------------|
| Needles        |                  |            |
| Inspected by:  | _                | Date:      |
| Lt. J. P. Rasm | ussen            | 01/05/2009 |

| Commander's I | Response: |
|---------------|-----------|
|---------------|-----------|

Command takes an active role in the decision to make purchases, completion of all requisition documentation and monitors the delivery of items purchased. The commander routinely discusses the status of requisitions with the clerical staff.

Inspector's Comments:

N/A

Required Action None

Corrective Action Plan/Timeline

N/A

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

| Command:       | Division: Inland | Chapter: 3 |
|----------------|------------------|------------|
| Needles        |                  |            |
| Inspected by:  |                  | Date:      |
| Lt. J. P. Rasm | nussen           | 01/05/2009 |

| Appeal Process: (Appeals shall be filed within five (5) business days of the  | completed chapter inspection).  |
|---|---|
| Appeal 1 100033. (Appeals shall be lifed within live (3) business days of the | COMPLETE STATE OF THE STATE OF |
| Commander's Basis for Appeal:   |   |
|   |   |
|   |   |
| N/A   |   |
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| Appeal Review/Decision: (This shall be the only level of appeal).             |   |
| Appeal Review/Decision: (This shall be the only level of appeal).             |   |
|   |   |
| Appeal Review/Decision: (This shall be the only level of appeal).  N/A        | 3   |
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|   |   |
| N/A   |   |
| N/A   |   |
| N/A   |   |
| N/A  Lead Inspector's Signature:  | Date:   |
| N/A   |   |

Page 1 of 2

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Date: 01/05/2009 |
|------------------|
| Data: 01/05/2000 |
| Date. 01/05/2009 |
|                  |
| Date:            |
|                  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION  |  | Lead Inspe | ector's Signati | ıre:      |          |                  |
|---|--|------------|-----------------|-----------|----------|------------------|
| ☐ Division Level X Command Level  |  |            | Dog             | nnv       |          |                  |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection  |  |            | 7.1100          | / / V / V |          |                  |
| Follow-up Required  | d:   | Command    | er's Signature  |           |          | Date: 01/05/2009 |
| Yes X No  |  | 1//        | Dasmi           | VI)       | 17_      |                  |
| For applicable policy, refer to: HPM 11.1, Chapter 23   |  |            |                 |           |          | 1<br>2           |
|   | nbers awarded to the same vendor<br>\$4,999 contract limit?  | ☐ Yes      | X No            | □ N/A     | Remarks: |                  |
| 2. Does all X Numbe<br>STD. 204 Payee D   | r file documentation contain the partial Record?   | X Yes      | ☐ No            | □ N/A     | Remarks: |                  |
| Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander? |  | ☐ Yes      | ☐ No            | X N/A     | Remarks: |                  |
| Are X Number req services are performance.  | uests made prior to the date the med?  | X Yes      | □No             | □ N/A     | Remarks: | 6                |
|   | sued for a one-time use?   | X Yes      | □No             | □ N/A     | Remarks: |                  |
| 6. Are prohibited services Number?  | vices performed using an X   | ☐ Yes      | X No            | □ N/A     | Remarks: |                  |
|   | ed for the procurement of a purchase of a commodity?   | X Yes      | □No             | □ N/A     | Remarks: |                  |
| Are X Numbers iss related services pr Telecommunicatio  |  | ☐ Yes      | ☐ No            | X N/A     | Remarks: |                  |
| (such as roof repai   | ed for facilities related services<br>r, electrical) costing over \$1,000<br>il from Facilities Section? | ☐ Yes      | □No             | X N/A     | Remarks: | (2)              |
|   | ued for lapsed contractual prior approval by the appropriate sioner?                                     | ☐ Yes      | □No             | X N/A     | Remarks: |                  |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| 11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ☐ Yes | ☐ No | X N/A | Remarks: |
|---|-------|------|-------|----------|
| 12. Do all X Numbers awarded to a small business<br>vendor contain the small business certification from<br>the Department of General Services (DGS)? | X Yes | ☐ No | □ N/A | Remarks: |
| 13. Does the file documentation contain the STD. 21<br>Drug Free workplace certification for X Number<br>vendors?                                     | X Yes | ☐ No | □ N/A | Remarks: |
| 14. Do emergency service X Numbers document and justify the emergency?  | X Yes | ☐ No | □ N/A | Remarks: |
| 15. Is the itemized invoice for each X Number service maintained in the command's files?  | X Yes | □No  | □ N/A | Remarks: |

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:       | Division: Inland | Chapter: 3 |  |  |
|----------------|------------------|------------|--|--|
| Needles        |                  |            |  |  |
| Inspected by:  |                  | Date:      |  |  |
| Lt. J. P. Rasm | 01/05/2009       |            |  |  |

| number of the inspection in the Chapte | r Inspection number. Under "Fo<br>is document shall be utilized to o | oxes as necessary, or fill in the blanks as indicated rward to:" enter the next level of command wher document innovative practices, suggestions for some used to appeal findings. A CHP 51 Memoran | tatewide             |  |  |
|--|--|---|----------------------|--|--|
| TYPE OF INSPECTION                     |  | Corrective Action Plan Included   |                      |  |  |
| Division Level X Command Le            | evel   | Appeal Included   |                      |  |  |
| Executive Office Level                 |  | Attachments Included  |                      |  |  |
| Follow-up Required:                    | Forward to:  | Commander's Signature:  | Date:                |  |  |
| · ·                                    | Inland Division  |   | 01/05/2009           |  |  |
| ☐ Yes X No                             | Due Date: 12/31/2008   | Thamma CT   | AT HER PASSESSI FALL |  |  |
| Chapter Inspection: Chapter            | 3 Command Procureme  | ents X-Number Program   |                      |  |  |
| Inspector's Comments Regar             |  |   |                      |  |  |
| mspeciol 3 Comments Regul              | ding innovative i racing   | <u> </u>  |                      |  |  |
| N/A                                    |  |   |                      |  |  |
|  | 58.1   |   |                      |  |  |
|  |  |   |                      |  |  |
|  |  |   |                      |  |  |
|  |  |   |                      |  |  |
| Command Suggestions for S              | tatewide Improvement:  | u Division Facili   | ities Costion        |  |  |
| Now that all X Numbers are is          | ssued by Facilities Secti  | on rather than Division offices, Facil  | weeks for            |  |  |
| authorization to fix exterior se       | ation time after a reques  | st is made. Area has been waiting 7 ea office.  | WCCKO IOI            |  |  |
| authorization to fix exterior se       | boarty lighting for the ru   |   |                      |  |  |
|  |  |   |                      |  |  |
|  |  |   |                      |  |  |
|  |  |   |                      |  |  |
|  |  |   |                      |  |  |
| 1                                      |  |   |                      |  |  |
| Inspector's Findings:                  |  |   |                      |  |  |

All paperwork for the X Numbers drawn during this inspection period was complete and located filed in a 3 ring binder in the clerical office. One of the vendors providing service for an emergency repair to the air conditioning service was completed by the contract vendor. This repair was outside the normal services required by the contract so an X Number was used.

### **COMMAND INSPECTION PROGRAM**

#### **EXCEPTIONS DOCUMENT**

| Command:       | Division: Inland | Chapter: 3 |  |  |
|----------------|------------------|------------|--|--|
| Needles        |                  |            |  |  |
| Inspected by:  |                  | Date:      |  |  |
| Lt. J. P. Rasm | 01/05/2009       |            |  |  |

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| Commander's Response: |  |
|-----------------------|--|

N/A

Inspector's Comments:

N/A

| West Living I will a serve | port Career & Jan |         |                 |                         |             |
|----------------------------|-------------------|---------|-----------------|-------------------------|-------------|
| Required Action            | None              | 自然的 经营业 |                 |                         |             |
| <b>有關係的社会 基里情報展開</b>       |                   |         | A MARKET TO THE | VU ZAVK ROTE (OS), EXIL | a)尼亚 新拉克里達尼 |
| Corrective Action          | Plan/Timeline     |         |                 |                         |             |

N/A

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:<br>Needles               | Division: Inland | Chapter: 3       |  |
|-----------------------------------|------------------|------------------|--|
| Inspected by:<br>Lt. J. P. Rasmus | ssen             | Date: 01/05/2009 |  |

Page 3

| Appeal Process: (Appeals shall be filed within five (5) business days of the | e completed chapter inspection). |
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| Commander's Basis for Appeal:  |                                  |
| N/A  |                                  |
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| Appeal Review/Decision: (This shall be the only level of appeal).            |                                  |
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| N/A  |                                  |
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| Lead Inspector 9 Signature:  | Date:                            |
| Responding Commander's Signature (for appeal):                               | 01/05/2009<br>Date:              |

Page

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

|                  |                  | 1 11 1 001       |
|------------------|------------------|------------------|
| Command:         | Division: Inland | Number: 834      |
| Needles          |                  |                  |
| Evaluated by:    |                  | Date: 01/05/2009 |
| Lt. J. P. Rasmus |                  |                  |
| Assisted by:     |                  | Date:            |
|                  |                  |                  |

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION X Command Level ☐ Division Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Date: 01/05/2009 Commander's Signature: Follow-up Inspection Follow-up Required: X No Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: ☐ Yes ☐ No X N/A service contracts which are repetitive, regardless of the estimated dollar value? 2. Is a CHP 78 Contract Request used for one-time Remarks: Yes □ No X N/A services exceeding \$4,999.99? Is the Office of Primary Interest (OPI) tracking Remarks: X N/A ☐ Yes □No numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? Is the performance of contract services monitored Remarks: Yes ☐ No X N/A and documented? 5. Are all copies of correspondence with the vendor Remarks: □ No X N/A Yes maintained? Are letters for contracts documented and maintained Remarks: X N/A ☐ Yes ☐ No which outline any problems related to substandard or non-performance of the vendor? 7. Is the final product to be delivered described Remarks: ☐ Yes □No X N/A specifically and in as much detail as possible in the CHP 78? Are all required levels of approval/signature obtained, Remarks: ☐ Yes ☐ No X N/A including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

Page 2 of 4

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

**INSPECTION CHECKLIST** 

Chapter 3, Command Procurements Contracts

| 9.  | Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?   | ☐ Yes | □No  | X N/A  | Remarks: |
|-----|--|-------|------|--------|----------|
| 10  | . Is all work completed and accepted by the Department before expiration of contract agreement?  | ☐ Yes | □No  | X N/A  | Remarks: |
| 11  | Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?  | ☐ Yes | □No  | X N/A  | Remarks: |
| 12. | Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?  | ☐ Yes | □No  | X N/A  | Remarks: |
| 13. | Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?  | ☐ Yes | □No  | X N/A  | Remarks: |
| 14. | Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?  | ☐ Yes | □No  | X N/A  | Remarks: |
| 15. | Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ☐ Yes | ☐ No | X N/A  | Remarks: |
| 16. | Are all applicable form sections of the CHP 78 completed?  | ☐ Yes | □No  | X N/A  | Remarks: |
|     | Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ☐ Yes | □No  | X N/A  | Remarks: |
|     | Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ☐ Yes | □No  | X N/A  | Remarks: |
| 19. | Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ☐ Yes | □No  | X N/A  | Remarks: |
| 20. | Are contract amendment request dollar amounts  | □ Vaa | □ No | X N/A  | Remarks: |
|     | increased more than 30%?   | ☐ Yes | ☐ No | A IV/A |          |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| 21. Is the length of the contract amendment request more than one year?   | ☐ Yes | □No  | X N/A | Remarks:  |
|---|-------|------|-------|---|
| Are amendments requested before the expiration of the original contract?  | ☐ Yes | □No  | X N/A | Remarks:  |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?   | ☐ Yes | □ No | X N/A | Remarks:  |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?   | ☐ Yes | □ No | X N/A | Remarks:  |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services  | X Yes | □No  | □ N/A | Remarks: Coordinated through Area with Contracts Management Unit. |
| 26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair | ☐ Yes | □ No | X N/A | Remarks:  |

#### COMMAND INSPECTION PROGRAM

**INSPECTION CHECKLIST** 

Chapter 3, Command Procurements Contracts

| 27. | Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | X Yes | ☐ No | □ N/A | Remarks: |
|-----|---|-------|------|-------|----------|
| 28. | Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ☐ Yes | □No  | X N/A | Remarks: |
| 29. | Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?   | X Yes | □No  | □ N/A | Remarks: |
| 30. | Is a log sheet maintained for a diary of activities related to the contract?  | ☐ Yes | X No | □ N/A | Remarks: |
| 31. | Is a computer file prepared for all contracts administered?   | ☐ Yes | X No | □ N/A | Remarks: |
| 32. | Is a spreadsheet prepared listing all expenditures?   | ☐ Yes | X No | □ N/A | Remarks: |
| 33. | Is the notification to the contractor documented for the start date for services to begin?  | X Yes | □No  | □ N/A | Remarks: |
| 34. | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | X Yes | □No  | □ N/A | Remarks: |
| 35. | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ☐ Yes | □No  | X N/A | Remarks: |
|     | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ☐ Yes | □No  | X N/A | Remarks: |
|     | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | X Yes | □No  | □ N/A | Remarks: |
| 38. | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ☐ Yes | □ No | X N/A | Remarks: |
|     | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)   | ☐ Yes | ☐ No | X N/A | Remarks: |

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:        | Division: Inland | Chapter: 3 |
|-----------------|------------------|------------|
| Needles         |                  |            |
| Inspected by:   |                  | Date:      |
| Lt. J. P. Rasmu | ıssen            | 01/05/2009 |

| number of the inspection in the Chapte                      | er Inspection number. Under "Fo<br>is document shall be utilized to c | oxes as necessary, or fill in the blanks as indicate<br>rward to:" enter the next level of command wher<br>document innovative practices, suggestions for so<br>the used to appeal findings. A CHP 51 Memoran | tatewide         |
|---|---|---|------------------|
| TYPE OF INSPECTION  |   | Corrective Action Plan Included   |                  |
| ☐ Division Level X Command Le                               | evel  | Appeal Included   |                  |
| ☐ Executive Office Level                                    | 2   | ☐ Attachments Included  |                  |
| Follow-up Required:   | Forward to:<br>Inland Division  | Commander's Signature:  | Date: 01/05/2009 |
| Yes X No  | Due Date: 12/31/2008 <  | -/Barnen LT-  |                  |
| Chapter Inspection: Chapter Inspector's Comments Regard N/A |   |   |                  |
| 0 10 10 10 10 10 10   | Lataniida lannaanananti   |   |                  |
| Command Suggestions for S                                   | tatewide improvement:   |   |                  |
| N/A   |   |   |                  |
| Inspector's Findings:                                       |   |   |                  |
| moperiors rindings.   |   |   |                  |

The Needles Area has not originated any contracts at the Area level. Any contracts involving the Area have been set up and approved through the Contracts Management Unit (CMU). Area has assisted with collecting the fingerprints and driver License printout for the Janitorial contract and forwarded them to CMU.

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command: Needles | Division: Inland | Chapter: 3 |
|------------------|------------------|------------|
| Inspected by:    |                  | Date:      |
| Lt. J. P. Rasmus | ssen             | 01/05/2009 |

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| Commander's Response:   |  |
|---|--|
| Area has only monitored work completed at the Area by vertices preparation and approval of billing statements is handled to |  |

Inspector's Comments:

N/A

Required Action None

Corrective Action Plan/Timeline

N/A

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:       | Division: Inland | Chapter: 3 |
|----------------|------------------|------------|
| Needles        |                  |            |
| Inspected by:  | -100             | Date:      |
| Lt. J. P. Rasm | ussen            | 01/05/2009 |

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| Appeal Process: (Appeals shall be filed within five (5) business days of the | completed chapter inspection). |
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| Commander's Basis for Appeal:  |                                |
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| N/A  |                                |
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| Appeal Review/Decision: (This shall be the only level of appeal).            |                                |
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| N/A  |                                |
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| Land Hammadada Cirambura   | Date:                          |
| Lead Inspector's Signature:  | 01/05/2009                     |
| Responding Commander's Signature (for appeal):                               | Date:                          |
|  |                                |

Page

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command:<br>Needles               | Division: Inland | Number: 834      |
|-----------------------------------|------------------|------------------|
| Evaluated by:<br>Lt. J. P. Rasmus | ssen             | Date: 01/05/2009 |
| Assisted by:                      |                  | Date:            |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION               |  | Lead Inspe  | ector's Signati | ıre:           |       |                           |  |
|----------------------------------|--|---|-----------------|----------------|-------|---------------------------|--|
| ☐ Division Level X Command Level |  | Phasmit)  |                 |                |       |                           |  |
| Exe                              | cutive Office Level  | ☐ Voluntary Self-Inspection   | / /             |                |       |                           |  |
| 1                                | llow-up Required:<br>Yes No  | Follow-up Inspection  | Command         | er's Signature |       | -7                        | Date: 01/05/2009   |
| For ap                           | plicable policy, refer   | to: HPM 11.2, Chapter 3   |                 |                |       |                           |  |
| 1.                               | Are all employees ass<br>Card program comple<br>Interest Statement, Er | ociated with the use of the Cal-<br>ting the CHP 78S, Conflict of<br>nployee, form? | X Yes           | □No            | □ N/A | Remarks:                  |  |
| 2.                               | Are STD. 21 Drug Fre   | e Workplace certifications<br>Cal Card command file for                             | X Yes           | □No            | □ N/A | Remarks:                  |  |
| 3.                               | Are STD. 204 Payee I in the Cal Card commutilized?                     | Data Record forms maintained and file for each vendor                               | X Yes           | ☐ No           | □ N/A | Remarks:                  |  |
| 4.                               | Are California Integrat<br>Form 74 documents m<br>utilized?            | ed Waste Management Board<br>naintained for each vendor                             | X Yes           | ☐ No           | □ N/A | Remarks:                  |  |
| 5.                               |  | I business or DVBE is utilized, r from the Department of ntained in the file?       | ☐ Yes           | X No           | □ N/A | contract is si            | ome business's a State<br>gned. Other business's<br>on letter will be filed in                   |
| 6.                               | When fair and reasona reasonable method do justified?                  | able is utilized, is the fair and cumented and properly                             | ☐ Yes           | X No           | □ N/A | on the CHP : statement wi | ne statement is reviewed<br>317. In the future a<br>Il be documented on the<br>or each purchase. |
| 7.                               | Are purchases split int to circumvent transact                         | o multiple transactions in order ion purchase limits?                               | ☐ Yes           | X No           | □ N/A | Remarks:                  |  |
| 8.                               | Does the CHP 317 Ca<br>purchase?                                       | l Card Log fully describe the   | X Yes           | □No            | □ N/A | Remarks:                  |  |
| 9.                               | Are bank statements r<br>Cal Card Log and the                          | econciled with the CHP 317 receipts/invoices?                                       | X Yes           | ☐ No           | □ N/A | Remarks:                  |  |

Page

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10. Is the CHP 317 Cal Card Log properly authorized and maintained?  | X Yes | □No  | □ N/A | Remarks:  |
|--|-------|------|-------|---|
| Are credit invoices/receipts for returned items maintained with the bank statement?  | X Yes | ☐ No | □ N/A | Remarks:  |
| 12. Do non-itemized purchase receipts/invoices<br>document the purchase by listing the commodity,<br>quantity, and unit price of the item(s) purchased on<br>the bank statement. | X Yes | □ No | □ N/A | Remarks:  |
| 13. Are Cal Cards maintained in a secure area?   | X Yes | □No  | □ N/A | Remarks:  |
| 14. Are Cal Card purchases pre-approved by the commander?  | X Yes | ☐ No | □ N/A | Remarks:  |
| 15. Have all cardholders received training on the Department's procurement processes?  | ☐ Yes | X No | □ N/A | Remarks: Area's second Cal Card holder has not attended the training. |
| Are item(s) purchased with the Cal Card prohibited by departmental policy?   | ☐ Yes | X No | □ N/A | Remarks:  |

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Needles | Division: Inland | Chapter: 3 |
|---------------------|------------------|------------|
| Inspected by:       |                  | Date:      |
| Lt. J. P. Rasmussen |                  | 01/05/2009 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION X Corrective Action Plan Included ☐ Division Level X Command Level Appeal Included ☐ Executive Office Level ☐ Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: Inland Division 01/05/2009 X Yes Mo. Due Date: 12/31/2008 Chapter Inspection: Chapter 3 Command Procurements Cal Card Program Inspector's Comments Regarding Innovative Practices: N/A

Command Suggestions for Statewide Improvement:

N/A

#### Inspector's Findings:

The certification letter regarding small businesses or DVBE from the Department of General Services (DGS) was not attached to some of the statements for the Cal Card for vendors that the state does not have a contract with.

No separate documentation was prepared "regarding fair and reasonable" when making purchases with the Cal Card. The statement is reviewed on the CHP 317 Cal Card statement when purchases are made

The Area Commander and one of the Cal Card holders have attended procurement training. When local training is provided in the future the second Cal Card holder will be scheduled to attend.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

| Command:<br>Needles | Division: Inland | Chapter: 3 |  |
|---------------------|------------------|------------|--|
| Inspected by:       |                  | Date:      |  |
| Lt. J. P. Rasmussen |                  | 01/05/2009 |  |

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Area will ensure a copy of the certification letter from DGS will be attached to all Cal Card invoices. Area was unaware that separate documentation was suppose to made regarding "fair and reasonable" when making purchases with the Cal Card. A separate notation will be made in the future. Additionally, Area was not aware that all Cal Card holders were required to attend procurement training. The second Cal Card holder will attend this training when available.

| Inchestor's Comments:  |  |  |
|--|--|--|
| Inspector's Comments:  |  |  |
| more and a committee of the committee of |  |  |

N/A

#### Required Action:

- 1. Area shall ensure a copy of the certification letter from DGS for small businesses and DVBE is maintained in file when a vendor meting the requirements is used.
- 2. A separate statement will be documented on the paperwork for Cal Card purchases regarding "fair and reasonable" selection process was used when making purchases.
- 3. Areas second Cal Card holder will attend procurement training when available.

#### Corrective Action Plan/Timeline

Items #1 and #2 listed above will be done immediately when items are purchased. Item # 3 will be completed when procurement training is scheduled locally within the Division.

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

| Command:            | Division: Inland | Chapter: 3 |
|---------------------|------------------|------------|
| Needles             |                  |            |
| Inspected by:       |                  | Date:      |
| Lt. J. P. Rasmussen |                  | 01/05/2009 |

| Appeal Process: (Appeals shall be filed within five (5) business days of the | e completed chapter inspection). |
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| Commander's Basis for Appeal:  |                                  |
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| Appeal Review/Decision: (This shall be the only level of appeal).            |                                  |
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| N/A  | Data                             |
| N/A  Lead Inspector's Signature:   | Date:                            |
| N/A  | Date: 01/05/2009 Date:           |

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Division:<br>Inland   | Chapter: |
|-----------------------|----------|
|                       | Date:    |
| Sgt. Stephens, #10174 |          |
|                       | Inland   |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: ⊠ No Yes Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: Inspector has not identified any discrepancies. Area follows proper policy and procedures.

Command Suggestions for Statewide Improvement:

Bishop Area strictly adheres to policy and closely monitors all transactions.

Inspector's Findings:

Bishop Area Supervisors currently conduct quarterly audits of Command Procurements. No discrepancies were noted and all paperwork follows policy as outlined in HPM 11.2, Chapter 3.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

| Command:<br>Bishop    | Division:<br>Inland | Chapter: 3 |
|-----------------------|---------------------|------------|
| Inspected by:         |                     | Date:      |
| Sgt. Stephens, #10174 |                     | 01/13/09   |

| Commander's Response: | Commander's Response: |  |
|-----------------------|-----------------------|--|
|-----------------------|-----------------------|--|

Commander assumes responsibility for the Bishop Command and ensures all policies and procedures are strictly adhered to.

#### Inspector's Comments:

Management monitors Command procurements through quarterly audits and inspections.

#### Required Action

Corrective Action Plan/Timeline

None

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

| Command:              | Division:<br>Inland | Chapter: |
|-----------------------|---------------------|----------|
| Bishop                | Irilariu            |          |
| Inspected by:         |                     | Date:    |
| Sqt. Stephens, #10174 |                     | 01/13/09 |

| Appeal Process:            | (Appeals shall be filed within five (5) business days of th | e completed chapter inspection). |
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| Lead Inspector's Signature | ~ /   | Date:                            |
| 1 ans                      | Stephen, So,  | 1-13-2009                        |
| Responding Commander's     | Signature (for appeal):                                     | Date:                            |
|                            |   |                                  |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| Command:<br>Mojave Area                 | Division:<br>Inland | Number:<br>830   |  |  |
|---|---------------------|------------------|--|--|
| Evaluated by:<br>J. Baird, #10680, Sgt. |                     | Date: 12/05/2008 |  |  |
| Assisted by: N/A                        |                     | Date:            |  |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Command Level ☐ Division Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Date: Commander's Signature Follow-up Required: 12-15-8 Follow-up Inspection ☐ Yes  $\bowtie$  No For applicable policy, refer to: HPM 11.2, Chapter 7 Remarks: Participants in the 1. Are participants in the procurement process at the procurement process are familiar with ✓ Yes ☐ No □ N/A command level familiar with the related policies and HPM 11.2, Chapter 7, and related procedures for purchasing? policies. Remarks: Area approvers/reviewers 2. Have Approvers/reviewers of purchases received have received training in the ⊠ Yes ☐ No  $\square$  N/A procurement training? procurement process. Remarks: A random sampling of 3. Are prohibited items procured on CHP 43, Purchases completed CHP 43's was conducted. ☐ Yes □ N/A Requisitions? ⊠ No None were found to contain prohibited items. Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: X Yes ☐ No □ N/A prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? Remarks: A random sampling of 5. Is all required information entered on the CHP 43, completed CHP 43's was conducted. Yes ■ □No □ N/A Purchase Requisition? All CHP 43's were found to contain the required information. Are the CHP 43, Purchase Requisitions, numbered Remarks: All CHP 43's were found to □ N/A ✓ Yes ΠNο consecutively, starting anew at the beginning of each be properly numbered. fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: ⊠ Yes  $\prod N/A$ forwarded to the Assistant Commissioner, Staff, for □No approval?

#### COMMAND INSPECTION PROGRAM

**INSPECTION CHECKLIST** 

Chapter 3, Command Procurements Purchases

| Do specialized items purchased contain the appropriate Division, and/or OPI approvals?   | ⊠ Yes             | □ No | □ N/A | Remarks:   |
|--|-------------------|------|-------|--|
| Are the CHP 43, Purchase Requisitions, competitively bid?  | ⊠ Yes             | □No  | □ N/A | Remarks:   |
| 10. Does the CHP 315, Price Comparison Worksheet document at least two price quotations?   | ∑ Yes             | □No  | □ N/A | Remarks: CHP 315's were found to contain two price quotes for acquisitions valued at less than \$5,000.  |
| 11. Are Limited Competitive Bidding purchase reques that limit or restrict the purchase to one specific brand or model justified and in compliance with S. 3555?   | │                 | □ No | ⊠ N/A | Remarks: Area had no limited competitive bidding purchases.  |
| 12. Are Limited Competitive Bidding purchase request for items that interface with existing departmental equipment in compliance with SAM 3555.3?  | Yes Yes           | □No  | ⊠ N/A | Remarks: Area had no limited competitive bidding purchases.  |
| 13. Do Non-Competitive Bid (NCB) purchase request<br>contain the NCB justification and NCB Corrective<br>Action Plan documents?  | s Yes             | □No  | ⊠ N/A | Remarks: Not applicable at the Area level.   |
| 14. Are items checked immediately for content and damage when delivered?   | ⊠ Yes             | □No  | □ N/A | Remarks: Items received at Area are immediately checked for content and damage. Employees are aware damage must be noted on the delivery receipt/slip. |
| 15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Ur within three business days of receipt, if all items a accepted? | nit,<br>ire ⊠ Yes | □No  | □ N/A | Remarks: Area ensures purchase orders are approved, dated, and forwarded to FMS within three business days of receipt.                                 |
| 16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?  | ⊠ Yes             | □ No | □ N/A | Remarks:   |
| 17. Is FMS provided a photocopy of the purchase ord and any approved freight or packing slips as acknowledgement that a portion of the order has been received?  | er 🛛 X Yes        | □No  | □ N/A | Remarks:   |
| 18. Is the original "received copy" retained by the<br>command for completion and forwarding to the FN<br>when the complete shipment is received?  |                   | □ No | □ N/A | Remarks:   |
| 19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's dibefore being accepted?  | river 🛚 Yes       | □ No | □ N/A | Remarks: Employee's are aware that damaged items delivered by the supplier's employee are to be refused.   |

Page

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared? | ⊠ Yes | □ No | □ N/A | Remarks:   |
|--|-------|------|-------|--|
| 21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)   | ⊠ Yes | □No  | □ N/A | Remarks: Area follows up on all purchase orders that remain open beyond a reasonable time period.                      |
| 22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)   | ⊠ Yes | □No  | □ N/A | Remarks: Copies of purchase requisitions/orders are maintained in the command files in accordance with current policy. |
| 23. Are decisions documented to create a paper trail<br>documenting the basis of the decisions made for the<br>purchase? (SCM Vol II Ch. 2, Topic 11)  | ☐ Yes | □No  | ⊠ N/A | Remarks: Not applicable at the Area level.   |
| 24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)   | ☐ Yes | ⊠ No | □ N/A | Remarks: Area does no split purchase orders to circumvent policy.  |

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT Page 1

| Command: Mojave Area             | Division:<br>Inland | Chapter: 3<br>(Purchases) |
|----------------------------------|---------------------|---------------------------|
| Inspected by:<br>J. Baird, #1068 | 0. Sgt.             | Date:<br>12/05/2008       |

| number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. |                                |                                   |         |  |  |  |
|--|--------------------------------|-----------------------------------|---------|--|--|--|
| TYPE OF INSPECTION   |                                | ☐ Corrective Action Plan Included |         |  |  |  |
| ☐ Division Level ☐ Command L   | _evel                          | Appeal Included                   |         |  |  |  |
| ☐ Executive Office Level   |                                | Attachments Included              |         |  |  |  |
| Follow-up Required:  | Forward to:<br>Inland Division | Commander's Signature:            | Date:   |  |  |  |
| ☐ Yes  | Due Date: 12/31/2008           | Git en                            | 12-15-8 |  |  |  |
| Chapter Inspection: Chapter 3, Command Procurements/Purchases  Inspector's Comments Regarding Innovative Practices:  |                                |                                   |         |  |  |  |
| None.  |                                |                                   |         |  |  |  |
|  |                                |                                   |         |  |  |  |
| Command Suggestions for S  | tatewide Improvement:          |                                   |         |  |  |  |
| None.  |                                |                                   |         |  |  |  |
|  |                                | *                                 |         |  |  |  |

The Mojave Area commander, Lieutenant Leach, #11073, was interviewed regarding his role as it relates to purchase procedures. He is aware it is his responsibility when signing the CHP 43 that the requested item(s) meet the guidelines outlined in departmental policy. He ensures his designee is aware of this responsibility as well. Area personnel involved in the acquisition process are familiar with departmental policy as it relates to inconsistent and incompatible activities.

A random inspection of several CHP 43's was conducted to determine compliance with departmental policy. The command file contains properly completed CHP 43's and copies of all related paperwork are

Inspector's Findings:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

| Command: Mojave Area   | Division:<br>Inland | Chapter: 3<br>(Purchases) |
|------------------------|---------------------|---------------------------|
| Inspected by:          |                     | Date:                     |
| J. Baird, #10680. Sgt. |                     | 12/05/2008                |

attached. Each CHP 43 was found to be properly completed and numbered consecutively. CHP 43's were signed by the commander or his designee. When required, Division approval was obtained for specialized items. Area does not split purchase orders to evade the bidding requirements. CHP 43's were submitted to PSU with all required attachments. Copies of purchase requisitions and purchase orders are maintained in Area's command files for three years as required by departmental policy.

Items delivered to Area are checked immediately for content and damage. Area is aware of the proper procedure to follow when damaged items are received. When all items are acceptable (no damage), the "received copy" of the purchase order is approved, dated and forwarded to FMS within three business days as required by policy. Area is aware of the procedure to follow when a partial shipment is received.

The Mojave Area purchases program is in compliance with current departmental policies and procedures.

| Commander's R | esponse: |
|---------------|----------|
|---------------|----------|

Mojave Area is in compliance with current policy for purchases outlined in Chapter 3.

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

N/A

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

| Command: Division: Mojave Area Inland |  | Chapter: 3<br>(Purchases) |  |  |
|---------------------------------------|--|---------------------------|--|--|
| Inspected by: J. Baird, #10680, Sqt.  |  | Date: 12/05/2008          |  |  |

| 경 공사 사람들 그 사람들 시간 시간 사람들은 기본 경기를 가득했다. 경기 시간                            |      |
|---|------|
| Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection). |      |
| Commander's Basis for Appeal:   | 9330 |

N/A

Page 3

Appeal Review/Decision: (This shall be the only level of appeal).

N/A

| Lead Inspector's Signature:                    | Date: /2-/3-08 |
|--|----------------|
| Responding Commander's Signature (for appeal): | Date:          |

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1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command:               | Division: | Number:    |  |
|------------------------|-----------|------------|--|
| Mojave Area Inland     |           | 830        |  |
| Evaluated by:          | Date:     |            |  |
| J. Baird, #10680, Sgt. |           | 10/29/2008 |  |
| Assisted by:           | Date:     |            |  |
| N/A                    |           |            |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE O | F INSPECTION                                     |  | Lead Inspe | ector's Signati | ure:                                    |   |
|--------|--|--|------------|-----------------|---|---|
|        | ision Level<br>ecutive Office Level              | <ul><li>☑ Command Level</li><li>☑ Voluntary Self-Inspection</li></ul>              |            | 1               | 13                                      |   |
| Fo     | ollow-up Required:<br>☐ Yes                      | Follow-up Inspection   | Commande   | er's Signature  |   | ) Date: 12-15-8   |
| For ap | oplicable policy, refer t                        | o: HPM 11.2, Chapter 3   |            |                 | ======================================= |   |
| 1.     |  | ociated with the use of the Cal-<br>ing the CHP 78S, Conflict of<br>aployee, form? | ⊠ Yes      | □ No            | □ N/A                                   | Remarks: An inspection of the Cal<br>Card command file was conducted.<br>CHP 78S's are maintained in the file<br>for each of Area's Cal Card holders<br>(OSSI Palmer, #A5130, and Officer<br>Gohr, #12650).                           |
| 2.     |  | e Workplace certifications<br>Cal Card command file for                            | ⊠ Yes      | □No             | □ N/A                                   | Remarks: An inspection of the Cal<br>Card command file was conducted<br>and the STD 21 forms were attached<br>to vendor files.  |
| 3.     |  | ata Record forms maintained and file for each vendor                               | ⊠ Yes      | □No             | □ N/A                                   | Remarks: An inspection of the Cal<br>Card command file was conducted<br>and the STD 204 forms were<br>attached to vendor files.   |
| 4.     |  | ed Waste Management Board<br>aintained for each vendor                             | ⊠ Yes      | □ No            | □ N/A                                   | Remarks: An inspection of the Cal<br>Card command file was conducted<br>and the CIWMB Form 74's were<br>attached to vendor files as<br>appropriate. Copies of the Form 74<br>are attached to the CHP 317 Cal<br>Card Log as required. |
| 5.     |  | business or DVBE is utilized,<br>from the Department of<br>tained in the file?     | ⊠ Yes      | □ No            | □ N/A                                   | Remarks: An inspection of the Cal<br>Card command file was conducted<br>and Small, Micro, and/or Disabled<br>Veteran-owned certification letters<br>from DGS were attached to vendor<br>files as appropriate.                         |
| 6.     | reasonable method do justified?                  | ble is utilized, is the fair and cumented and properly                             | ⊠ Yes      | □No             | □ N/A                                   | Remarks:  |
| 7.     | Are purchases split into to circumvent transacti | o multiple transactions in order on purchase limits?                               | ☐ Yes      | ⊠ No            | □ N/A                                   | Remarks: Area adheres to policy and does not split multiple transactions to circumvent purchase limits.   |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 8.  | Does the CHP 317 Cal Card Log fully describe the purchase?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
|-----|---|-------|------|-------|--|
|     | Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?   | ⊠ Yes | □ No | □ N/A | Remarks: An inspection of the Cal Card command file indicated bank statements are reconciled with the CHP 317 within three days of receipt as required by policy. The commander reviews and approves documents.  |
| 10. | Is the CHP 317 Cal Card Log properly authorized and maintained?   | ⊠ Yes | □ No | □ N/A | Remarks:   |
| 11. | Are credit invoices/receipts for returned items maintained with the bank statement?   | ⊠ Yes | ☐ No | □ N/A | Remarks:   |
|     | Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement. | ⊠ Yes | □No  | □ N/A | Remarks: An inspection of the Cal Card command file was conducted and it was found that itemized receipts/invoices were attached to the CHP 317. Area is aware of the procedure to follow if an item is purchased and the supplier does not provide an itemized receipt/invoice. |
| 13. | Are Cal Cards maintained in a secure area?  | ⊠ Yes | □ No | □ N/A | Remarks: Both of Area's Cal Card<br>holders (OSSI Palmer, #A5130, and<br>Officer Gohr, #12650) maintain their<br>respective Cal Cards in secure<br>locations.  |
|     | Are Cal Card purchases pre-approved by the commander?   | ⊠ Yes | □No  | □ N/A | Remarks: In the Area commander's absence, OSSI Palmer, #A5130, has been authorized to pre-approve Cal Card Purchases. This authorization is documented in Area's Standard Operating Procedures.  |
|     | Have all cardholders received training on the Department's procurement processes?   | ⊠ Yes | □No  | □ N/A | Remarks: OSSI Palmer, #A5130, and Officer Gohr, #12065, are the only Cal Card holders at the Mojave Area. They have both received the appropriate training. CHP 317A's are on file for each Cal Card holder.   |
|     | Are item(s) purchased with the Cal Card prohibited by departmental policy?  | ☐ Yes | ⊠ No | □ N/A | Remarks:   |

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT Page 1

| Command: Mojave Area              | Division:<br>Inland | Chapter:<br>3 (Cal Card) |
|-----------------------------------|---------------------|--------------------------|
| Inspected by:<br>J. Baird, #10680 | D. Sgt.             | Date:<br>10/29/2008      |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level ☐ Appeal Included Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: Inland Division ⊠ No ☐ Yes Due Date: 12/31/2008 Chapter Inspection: Chapter 3, Command Procurements/Cal-Card Program Inspector's Comments Regarding Innovative Practices: None. Command Suggestions for Statewide Improvement: None.

The Mojave Area commander, Lieutenant Leach, was interviewed regarding his role as it relates to the Cal Card program. He related the overall function of the Cal Card program is his responsibility. He has a hands on approach in the oversight of the program and pre-approves all purchases. He has designated OSSI Palmer, #A5130, the responsibility of pre-approving purchases in his absence. He reviews all purchases, CHP 317's, bank statements and invoices/receipts.

The Mojave Area has two Cal Card cardholders. Each cardholder is aware of the security responsibilities of the Cal Card and its proper use. The cardholders have attended training in the use of

Inspector's Findings:

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT Page 2

| Command: Mojave Area                 | Division:<br>Inland | Chapter:<br>3 (Cal Card) |
|--------------------------------------|---------------------|--------------------------|
| Inspected by: J. Baird, #10680. Sgt. |                     | Date:<br>10/29/2008      |

the card and understand the policies and procedures contained in HPM 11.2, Chapter 3, Cal Card Program. Training has been documented on a CHP 317A, Cal Card Holder Acknowledgment and Responsibility form, which is retained in the Cal Card command file. Duties and responsibilities of the cardholders are documented in the Area's Standard Operating Procedures.

A random inspection of several CHP 317's, Cal Card Log, was conducted to determine compliance with departmental policy. Each transaction was found to be adequately explained and the purposes of the purchases were documented. Each expenditure was verified with its corresponding invoice. Receipts were found to contain the name of the vendor, description of item, quantity purchased, price per item and amount of sales tax. Each expenditure was found to have been pre-approved by the Area commander. All purchases were within the \$1,000 limit. Splitting purchases to circumvent the single purchase limit does not occur. Each CHP 317 contained the appropriate signatures.

The random inspection also included a review of several Cal Card bank statements. The postmarked bank statement envelope was retained and attached to the bank statement. Each bank statement was reconciled with the supplier receipts/invoices. No items were found to have been returned, therefore there were no credits to verify. All documents were reconciled, reviewed by the Area commander and forwarded to Inland Division within the three day limit.

A review of required documents to comply with the Governor's Executive Orders and mandated legislation was conducted. Area's Cal Card command file was found to contain the following documents, where required: STD. 21, Drug-Free Workplace Certification; STD. 204, Payee Data Record; California Integrated Waste Management Board, CIWMB 74, California Certified Small, Micro, and/or Disabled Veteran-owned Certification Letter; and Fair and Reasonable Certification.

The Mojave Area Cal Card program is in compliance with current departmental policies and procedures.

#### Commander's Response:

The Cal Card program within the Mojave Area is in compliance with all current policies and procedures. Much of the credit belongs to OSSI Sandra Palmer.

Inspector's Comments:

N/A

## **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Page 3

| Command:               | Division: | Chapter:     |  |
|------------------------|-----------|--------------|--|
| Mojave Area            | Inland    | 3 (Cal Card) |  |
| Inspected by:          |           | Date:        |  |
| J. Baird, #10680. Sgt. |           | 10/29/2008   |  |

| Required Action         |          |
|-------------------------|----------|
| Corrective Action Plan/ | Timeline |
| Corrective Action Flam  | Timeline |

N/A

| Appeal Process: | (Appeals shall be filed within five (5) business days of the completed chapter inspection). |
|-----------------|---|
| Commander's Ba  | sis for Appeal:   |

N/A

Appeal Review/Decision: (This shall be the only level of appeal).

N/A

| Lead Inspector's Signature:                    | Date: /2.5.0B |
|--|---------------|
| Responding Commander's Signature (for appeal): | Date:         |

Page 1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command:           | Division:  | Number: |  |  |
|--------------------|------------|---------|--|--|
| Mojave Area Inland |            | 830     |  |  |
| Evaluated by:      |            | Date:   |  |  |
| J. Baird, 10680    | 11/03/2008 |         |  |  |
| Assisted by:       |            | Date:   |  |  |
| N/A                |            | 7       |  |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION   |         | Lead Inspector's Signature: |       |  |  |
|--|---------|-----------------------------|-------|--|--|
| ☐ Division Level ☐ Command Level   |         | 413                         |       |  |  |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection   |         |                             |       |  |  |
| Follow-up Required:  | Command | er's Signature              | en    | Date: 12-15-8  |  |
| For applicable policy, refer to: HPM 11.1, Chapter 23  |         |                             |       |  |  |
| Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?  | ☐ Yes   | ⊠ No                        | □ N/A | Remarks: An inspection of the X<br>Numbers command file was<br>conducted. Multiple X Numbers are<br>not awarded to vendors to circumvent<br>contract limits.   |  |
| <ol><li>Does all X Number file documentation contain the<br/>STD. 204 Payee Data Record?</li></ol>                                       | ⊠ Yes   | □No                         | □ N/A | Remarks: An inspection of the X Numbers command file was conducted and the STD 204 was contained with the file documentation.  |  |
| 3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander? | ⊠ Yes   | □ No                        | □ N/A | Remarks: One X Number was obtained to provide temporary janitorial service to the Area office. Appropriate approval was obtained through channels prior to the X Number being awarded.   |  |
| Are X Number requests made prior to the date the services are performed?   | ⊠ Yes   | □No                         | □ N/A | Remarks: An inspection of the X<br>Numbers command file found one<br>request for an X Number after the<br>service had been performed. This<br>was an unavoidable isolated incident<br>and is explained in the attached<br>Exceptions Document. |  |
| 5. Are X Numbers issued for a one-time use?  | ⊠ Yes   | □No                         | □ N/A | Remarks:   |  |
| <ol><li>Are prohibited services performed using an X<br/>Number?</li></ol>   | ☐ Yes   | ⊠ No                        | □ N/A | Remarks:   |  |
| 7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?  | ⊠ Yes   | □No                         | □ N/A | Remarks:   |  |
| Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?                                 | ⊠ Yes   | □ No                        | □ N/A | Remarks: An inspection of the X<br>Numbers command file was<br>conducted. Telecommunications<br>Section pre-approved all X Numbers<br>issued for telecommunications related<br>services.   |  |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| <ol> <li>Do X Numbers used for facilities related services<br/>(such as roof repair, electrical) costing over \$1,000<br/>have prior approval from Facilities Section?</li> </ol> | ☐ Yes | □No  | ⊠ N/A | Remarks: No CHP 78X's were found to contain facility related services in excess of \$1000.00.  |
|---|-------|------|-------|--|
| 10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?  | ☐ Yes | □No  | ⊠ N/A | Remarks:   |
| Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ☐ Yes | ⊠ No | □ N/A | Remarks: Some CHP 78X's were found to not have three price quotations. Most of these involved emergency repairs that do not require three price quotations. See Exceptions Document for further details. |
| 12. Do all X Numbers awarded to a small business<br>vendor contain the small business certification from<br>the Department of General Services (DGS)?                             | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 13. Does the file documentation contain the STD. 21<br>Drug Free workplace certification for X Number<br>vendors?   | ⊠ Yes | □ No | □ N/A | Remarks: An inspection of the X<br>Numbers command file was<br>conducted and the STD 21 was<br>contained with the file documentation   |
| 14. Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | □No  | □ N/A | Remarks: All CHP 78X's for emergency services were found to have the emergency properly justified in section 7 of the form.  |
| 15. Is the itemized invoice for each X Number service maintained in the command's files?  | ⊠ Yes | □ No | □ N/A | Remarks: An inspection of the X<br>Numbers command file was<br>conducted and the itemized invoices<br>were attached to copies of the CHP<br>78X  |

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT Page 1

| Command:               | Division: | Chapter: 3 (X- |  |
|------------------------|-----------|----------------|--|
| Mojave Area            | Inland    | Number Program |  |
| Inspected by:          |           | Date:          |  |
| J. Baird, #10680. Sgt. |           | 11/03/2008     |  |

| number of the inspection in the Chapte shall be routed to and its due date. The | r Inspection number. Under "Fo<br>is document shall be utilized to o | oxes as necessary, or fill in the blanks as indicate<br>orward to:" enter the next level of command when<br>document innovative practices, suggestions for so<br>the used to appeal findings. A CHP 51 Memoran | re the document<br>statewide |
|---|--|--|------------------------------|
| TYPE OF INSPECTION  |  | Corrective Action Plan Included  |                              |
| ☐ Division Level ☐ Command L  | .evel  | Appeal Included  |                              |
| ☐ Executive Office Level  |  | Attachments Included   |                              |
| Follow-up Required:   | Forward to:<br>Inland Division                                       | Commander's Signature:   | Date:                        |
| ☐ Yes   |  | 25 Lend  | 12-15-8                      |
|   | Due Date: 12/31/2008   | 40   |                              |
| Chapter Inspection: Chapter   | 3, Command Procurem  | ents/X-Number Program  |                              |
| Inspector's Comments Regar  | ding Innovative Practice   | es:  |                              |
| None.   |  |  |                              |
| Command Suggestions for S   | tatewide Improvement:  |  |                              |
| None.   |  |  |                              |
|   |  |  |                              |

The Mojave Area commander, Lieutenant Leach, #11073, was interviewed regarding his role as it relates to the X Number program. He related the overall function of the X Number program is his responsibility. He has a hands on approach in the oversight of the program. He is normally advised of all services/repairs requiring an X Number. He reviews all CHP 78X's, X Number Service Order, and approves them. He has designated OSSI Palmer, #A5130, the responsibility of Area's X Number Coordinator and Sergeant McCormack, #11093, as the Alternate Coordinator.

Inspector's Findings:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT Page 2

| Command: Mojave Area   | Division: Inland | Chapter: 3 (X-<br>Number Program) |
|------------------------|------------------|-----------------------------------|
| Inspected by:          |                  | Date:                             |
| J. Baird, #10680. Sgt. |                  | 11/03/2008                        |

A random inspection of several CHP 78X's, X Number Service Order, was conducted to determine compliance with departmental policy. The X Numbers command file contains properly completed STD 204's, Payee Data Record, and STD 21's, Drug Free Workplace Certification, for each vendor. These forms expire after three years and are renewed with vendors, as needed, when subsequent X Numbers are awarded. The forms are maintained alphabetically in a binder for ease of reference. X Numbers are properly issued for one-time use and none were issued for prohibited services. Itemized invoices for each X Number are maintained in the command files.

CHP 78X's for emergency and non-emergency services/repairs were reviewed for compliance with departmental policy. CHP 78X's for non-emergency service/repair were, for the most part, completed properly. In instances where less than three vendor bids were obtained, the justification was contained in Section 7, Type of Service Needed. By policy, the justification for less than three bids should be explained in Section 14, Justification. This discrepancy was discussed with the Area commander and X Number coordinator. Both related all future CHP 78X's will have the justification contained in Section 14 of the form. X Numbers awarded for emergency service/repair were found to be properly documented on the CHP 78X. The reason and justification for the emergency service/repair was adequately explained in Section 7 of the form.

One CHP 78X was found to have been completed after the vendor provided the service. This was determined to be an isolated incident in which both Area and the vendor believed the service was warranty related. The vendor responded to the Area office and made repairs to an electric gate. The vendor later realized the repair was due to parts they had not installed and therefore the service was not warranty related. The vendor subsequently submitted an invoice to Area for payment of services. Request for payment of the invoice was made through appropriate channels to the office of Assistant Commissioner, Field. Payment of the invoice was approved and an X Number was awarded to the vendor.

The Mojave Area X Number program is in compliance with current departmental policies and procedures.

#### Commander's Response:

One minor discrepancy was uncovered during this inspection and measures have been taken to correct the situation. Overall, the X Number program in Mojave has been used very efficiently. The credit for this success rests mainly with OSSI Sandi Palmer.

| Inspector's Comments: |  |
|-----------------------|--|
|-----------------------|--|

N/A

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

or way to be a

| Command: Mojave Area   | Division: | Chapter: 3 (X-<br>Number Program) |  |
|------------------------|-----------|-----------------------------------|--|
| Inspected by:          |           | Date:                             |  |
| J. Baird. #10680. Sqt. |           | 11/03/2008                        |  |

|  | 3. Dailu, #10000. Ogt.           | 11/03/2000      |
|--|----------------------------------|-----------------|
| 第四个人的 100mm  |                                  |                 |
| Required Action  |                                  |                 |
|  |                                  |                 |
| Corrective Action Plan/Timeline  |                                  |                 |
| N/A  |                                  |                 |
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| Appeal Process: (Appeals shall be filed within five (5) busing   | ess days of the completed chapte | er inspection). |
| Commander's Basis for Appeal:  |                                  |                 |
| and the state of t |                                  |                 |
| N/A  |                                  |                 |
|  |                                  |                 |
|  |                                  |                 |
|  |                                  |                 |
|  |                                  |                 |
|  |                                  |                 |
|  |                                  |                 |
| A secretary I D /D   |                                  |                 |
| Appeal Review/Decision: (This shall be the only level of a   | opeal).                          | A               |
| N/A  |                                  |                 |
|  |                                  |                 |
|  |                                  |                 |
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|  |                                  |                 |
|  |                                  |                 |
|  |                                  |                 |
|  |                                  |                 |
| Lead Inspector's Signature:  | Date:                            | 0               |
|  | 12.5                             | -00             |
| Responding Commander's Signature (for appeal):   | Date:                            |                 |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command:              | Division:           | Number:    |
|-----------------------|---------------------|------------|
| Mojave Area           | ∕lojave Area Inland |            |
| Evaluated by:         | Date:               |            |
| Sgt. J. Baird, #10680 |                     | 11/25/2008 |
| Assisted by:          |                     | Date:      |
| N/A                   |                     |            |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF   | FINODEOTION  | Landing                      | t d Ci t -                  |       |              |   |  |
|---|--|------------------------------|-----------------------------|-------|--------------|---|--|
| TYPE OF INSPECTION                                    |  |                              | Lead Inspector's Signature: |       |              |   |  |
| ☐ Division Level ☐ Command Level                      |  |                              | 0                           | 3-    |              |   |  |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection  |  |                              |                             |       |              |   |  |
| Fo  | Illow-up Required: ☐ Follow-up Inspection  Yes ☒ No  | Commander's Signature: Date: |                             |       |              | Date: 12-15-5   |  |
| For applicable policy, refer to: HPM 11.1, Chapter 22 |  |                              |                             | -7    |              |   |  |
| 1.  | Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?  | ☐ Yes                        | □ No                        | ⊠ N/A | prepared by  | ontract requests are<br>the appropriate Office of<br>rest (OPI). This is not an |  |
| 2.  | Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?  | ☐ Yes                        | □No                         | ⊠ N/A | prepared by  | ontract requests are<br>the appropriate OPI.<br>n Area function.                |  |
| 3.  | Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?                       | ☐ Yes                        | □ No                        | ⊠ N/A |              | is is the responsibility of<br>the OPI. This is not an                          |  |
| 4.  | Is the performance of contract services monitored and documented?  | ☐ Yes                        | □No                         | ⊠ N/A |              | is is the responsibility of<br>manager. This is not an<br>n.                    |  |
|   | Are all copies of correspondence with the vendor maintained?   | ☐ Yes                        | □No                         | ⊠ N/A | the Contract | is is the responsibility of<br>Services Unit (CSU).<br>Area function.           |  |
| 6.  | Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?  | ☐ Yes                        | □No                         | ⊠ N/A |              | is is the responsibility of is is not an Area                                   |  |
|   | Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?   | ☐ Yes                        | □No                         | ⊠ N/A |              | is is the responsibility of<br>nanager. This is not an                          |  |
| 8.  | Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | ☐ Yes                        | □ No                        | ⊠ N/A |              | is is the responsibility of<br>te OPI. This is not an                           |  |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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### **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

| 9.  | Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?   | ☐ Yes | ☐ No | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
|-----|--|-------|------|-------|--|
| 10. | Is all work completed and accepted by the Department before expiration of contract agreement?  | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
| 11. | Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?  | ☐ Yes | □ No | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
|     | Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?  | ⊠ Yes | □No  | □ N/A | Remarks: All invoices are reviewed, approved and forwarded for payment to Fiscal Management Section (FMS) within the appropriate time frame. |
| 13. | Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?  | Yes   | ☐ No | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
| 14. | Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?  | ☐ Yes | □ No | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
| 15. | Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ⊠ Yes | □No  | □ N/A | Remarks: All invoices are reviewed, approved and forwarded for payment to FMS within the appropriate time frame.                             |
| 16. | Are all applicable form sections of the CHP 78 completed?  | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
| 17. | Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ☐ Yes | □ No | ⊠ N/A | Remarks: Area has not had an emergency contract.   |
| 18. | Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
| 19. | Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
| 20. | Are contract amendment request dollar amounts increased more than 30%?   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 21. Is the length of the contract amendment request more than one year?   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
|---|-------|------|-------|--|
| 22. Are amendments requested before the expiration of<br>the original contract?   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function.   |
| 23. Is a service contract on a CHP 78, Contract Request<br>initiated for any commercial meeting/conference<br>room rental which is expected to exceed \$4,999.99 in<br>total cost?  | ☐ Yes | □ No | ⊠ N/A | Remarks: Area had no contracts for commercial meeting/conference room rentals.   |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?   | ☐ Yes | □No  | ⊠ N/A | Remarks: Area had no contracts for conference room rentals.  |
| <ul> <li>25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:</li> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>  | ⊠ Yes | □No  | □ N/A | Remarks: DOJ and FBI fingerprint and driver license checks are conducted for the appropriate contract vendors. Area has obtained this information for such contracts as the janitorial services provided for the Cache Creek Scale facility and the Inyokern Resident Post facility. |
| 26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alam and Fire Alam Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair | ⊠ Yes | □No  | □ N/A | Remarks: Driver license checks are conducted as required for contracts requiring intermittent maintenance or service. Adverse information is reported to CSU as required.  |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 27  | Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | ⊠ Yes | □ No | □ N/A | Remarks: All information is forwarded to CSU as required.                                  |
|-----|---|-------|------|-------|--|
| 28. | Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ⊠ Yes | □No  | □ N/A | Remarks: Adverse information is forwarded to CSU as required.                              |
| 29. | Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?  | ⊠ Yes | □No  | □ N/A | Remarks: All required paperwork is retained in Area's command files as required.           |
| 30. | Is a log sheet maintained for a diary of activities related to the contract?  | ⊠ Yes | □No  | □ N/A | Remarks: A log sheet is maintained on Area's LAN system for all contracts.                 |
| 31. | Is a computer file prepared for all contracts administered?   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function. |
| 32. | Is a spreadsheet prepared listing all expenditures?   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function. |
|     | Is the notification to the contractor documented for the start date for services to begin?  | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function. |
| 34. | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function. |
| 35. | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function. |
| 36. | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function. |
|     | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function. |
|     | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function. |
| 39. | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)   | ☐ Yes | □No  | ⊠ N/A | Remarks: This is the responsibility of the contract manager. This is not an Area function  |

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT Page 1

| Command: Mojave Area                 | Division:<br>Inland | Chapter:<br>3 (Contracts) |
|--------------------------------------|---------------------|---------------------------|
| Inspected by: J. Baird, #10680, Sgt. |                     | Date: 11/25/2008          |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION ☐ Corrective Action Plan Included ☐ Division Level ☐ Command Level ☐ Appeal Included ☐ Executive Office Level Attachments Included Forward to: Commander's Signature: Date: Follow-up Required: **Inland Division** ☐ Yes ⊠ No 12-15-8 Due Date: 12/31/2008 Chapter Inspection: Chapter 3, Command Procurements/Contracts Inspector's Comments Regarding Innovative Practices: None. Command Suggestions for Statewide Improvement: None.

After a review of the Command Inspection Program Inspection Checklist it was determined the majority of the inspection items are the responsibility of the appropriate Office of Primary Interest and/or Contract Services Unit. The inspection checklist items related to Area's involvement in the contract process were addressed through this self-inspection.

Contractual invoices for payment are reviewed and approved to substantiate expenditures for work performed and to prevent penalties from being assessed. After being reviewed and approved by the Area commander or his designee, all invoices are forwarded to Fiscal Management Section within the

Inspector's Findings:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT Page 2

| Command:               | Division: | Chapter:<br>3 (Contracts) |
|------------------------|-----------|---------------------------|
| Mojave Area            | Inland    | Date:                     |
| J. Baird, #10680, Sgt. |           | 11/25/2008                |

appropriate time frame. Invoices, records, and relevant documentation are retained in Area's command file for three years.

DOJ and FBI fingerprint and driver license checks are conducted for the appropriate contract vendors. Area has obtained this information for such contracts as the janitorial services provided for the Cache Creek Scale facility and Inyokern Resident Post facility. Driver license checks are conducted as required for contracts requiring intermittent maintenance or service. Adverse information discovered during these checks is reported to CSU as required.

Mojave Area's involvement in contractual issues is in compliance with current departmental policies and procedures.

#### Commander's Response:

Area's responsibility in this inspection is limited. However, our obligations have been consistently met. Additionally, contracts are suspensed to the Area Coordinator six months prior to their expiration to allow them to ensure the renewal is in process, plan for an extension if needed, and review the performance of the vendor.

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

N/A

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

| Command:        | Division: | Chapter:      |
|-----------------|-----------|---------------|
| Moiave Area     | Inland    | 3 (Contracts) |
| Inspected by:   |           | Date:         |
| J. Baird, #1068 | 30. Sat.  | 11/25/2008    |

| Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection). |
|---|
| Commander's Basis for Appeal:   |
| N/A   |
|   |
| Appeal Review/Decision: (This shall be the only level of appeal).   |
| N/A   |

| Lead Inspector's Signature:                    | Date: 12-5-08 |
|--|---------------|
| Responding Commander's Signature (for appeal): | Date:         |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| Command:            | Division: | Number:    |
|---------------------|-----------|------------|
| Bishop              | Inland    | 825        |
| Evaluated by:       |           | Date:      |
| R.A. Stephens, Sgt. |           | 12/06/2008 |
| Assisted by:        |           | Date:      |
| OSS1 Brewer         |           | 12/06/2008 |

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Command Level ☐ Division Level Executive Office Level ☐ Voluntary Self-Inspection Follow-up Required: Follow-up Inspection No. ☐ Yes For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: command level familiar with the related policies and ⊠ Yes □ No □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: □ No □ N/A procurement training? Yes Are prohibited items procured on CHP 43, Purchases Remarks: ⊠ No □ N/A Requisitions? Yes Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: □ No □ N/A prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Remarks: ☐ No □ N/A Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks:

⊠ Yes

Yes

□ No

□No

□ N/A

 $\square$  N/A

Remarks:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

approval?

fiscal year (July 1)?

consecutively, starting anew at the beginning of each

forwarded to the Assistant Commissioner, Staff, for

7. Are expedited requests for the purchase of goods

 $\mathcal{H} = -\frac{(D)}{2} \cdot \frac{\hat{g}}{2} \cdot \hat{g} \cdot \hat{g} = 0$ 

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
|---|-------|------|-------|--|
| <ol><li>Are the CHP 43, Purchase Requisitions,<br/>competitively bid?</li></ol>   | ⊠ Yes | □No  | □ N/A | Remarks: Due to our rural location, competitive bid's are not always possible, |
| 10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 11. Are Limited Competitive Bidding purchase requests<br>that limit or restrict the purchase to one specific<br>brand or model justified and in compliance with SAM<br>3555?  | ☐ Yes | □ No | ⊠ N/A | Remarks:   |
| 12. Are Limited Competitive Bidding purchase requests<br>for items that interface with existing departmental<br>equipment in compliance with SAM 3555.3?  | ☐ Yes | □No  | ⊠ N/A | Remarks:   |
| 13. Do Non-Competitive Bid (NCB) purchase requests<br>contain the NCB justification and NCB Corrective<br>Action Plan documents?  | ☐ Yes | □No  | ⊠ N/A | Remarks:   |
| 14. Are items checked immediately for content and damage when delivered?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 15. Is the "received copy" of the purchase order<br>approved, dated, and forwarded to the Fiscal<br>Management Section (FMS), Account Payable Unit,<br>within three business days of receipt, if all items are<br>accepted? | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?   | ⊠ Yes | □ No | □ N/A | Remarks:   |
| 17. Is FMS provided a photocopy of the purchase order<br>and any approved freight or packing slips as<br>acknowledgement that a portion of the order has<br>been received?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 19. Are <u>Damaged items</u> delivered by common carrier<br>acknowledged on the freight bill by the carrier's driver<br>before being accepted?  | ⊠ Yes | □No  | □ N/A | Remarks:   |

#### **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements **Purchases** 

| im<br>by<br>of<br>de<br>is | Purchasing Services Unit (PSU) notified inmediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is etermined that a commodity requested on a CHP 43 no longer needed and a purchase order has not been prepared? | ⊠ Yes | □ No | □ N/A | Remarks: |
|----------------------------|---|-------|------|-------|----------|
| inv                        | re open purchase orders periodically reviewed and vestigated to ensure the orders are not opened for unreasonable length of time. (SAM 8422.0)  | ⊠ Yes | □No  | □ N/A | Remarks: |
| ore                        | re copies of the purchase requisitions and purchase ders maintained for three years after payment? SCM Vol. II, Ch. 11, Topic 4)  | ⊠ Yes | □No  | □ N/A | Remarks: |
| do                         | re decisions documented to create a paper trail ocumenting the basis of the decisions made for the urchase? (SCM Vol II Ch. 2, Topic 11)  | ⊠ Yes | □No  | □ N/A | Remarks: |
| bio<br>De                  | re purchase orders split to evade competitive dding requirements or to circumvent the epartment's delegated purchase authority limits? bublic Contracts Code Section 10329)   | ☐ Yes | ⊠ No | □ N/A | Remarks: |

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command:      | Division: | Number:  |
|---------------|-----------|----------|
| Bishop        | Inland    | 825      |
| Evaluated by: |           | Date:    |
| R.A. Stepher  | 12/06/08  |          |
| Assisted by:  |           | Date:    |
| OSS1 Brewer   |           | 12/06/08 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION   | Lead Inspect | tor's Signatu | re:   |   |
|--|--------------|---------------|-------|---|
| ☐ Division Level ☐ Command Level   |              |               | ,     |   |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection   | Pont         | 2-            | 1/1-  | 2. STEPHENI   |
| Follow-up Required:  | Commander'   | 's Signature: | Mari  | 2. SPECITIONS  Date: 12 E-C                                     |
| For applicable policy, refer to: HPM 11.1, Chapter 22  |              |               |       | ,   |
| <ol> <li>Is a CHP 78 Contract Request used to initiate all<br/>service contracts which are repetitive, regardless of<br/>the estimated dollar value?</li> </ol>  | ⊠ Yes        | □No           | □ N/A | Remarks: Usually done by<br>Headquarters or Facilities Section. |
| <ol> <li>Is a CHP 78 Contract Request used for one-time<br/>services exceeding \$4,999.99?</li> </ol>  | ☐ Yes        | ⊠ No          | □ N/A | Remarks:  |
| <ol> <li>Is the Office of Primary Interest (OPI) tracking<br/>numbering beginning with the requesting command<br/>three-digit location code used, followed by "CP" for<br/>contract payable listed on the CHP 78?</li> </ol>                           | ⊠ Yes        | □No           | □ N/A | Remarks:  |
| 4. Is the performance of contract services monitored and documented?   | ☐ Yes        | ⊠ No          | □ N/A | Remarks: Not documented at Area level.                          |
| 5 Are all copies of correspondence with the vendor maintained?   | ⊠ Yes        | □No           | □ N/A | Remarks:  |
| 6. Are letters for contracts documented and maintained<br>which outline any problems related to substandard or<br>non-performance of the vendor?   | ⊠ Yes        | □No           | □ N/A | Remarks:  |
| 7. Is the final product to be delivered described<br>specifically and in as much detail as possible in the<br>CHP 78?  | ⊠ Yes        | □No           | □ N/A | Remarks:  |
| <ol> <li>Are all required levels of approval/signature obtained,<br/>including the required documentation and approvals<br/>for expedite and emergency contracts per HPM 11.1,<br/>Chapter 22, before forwarding the CHP 78 or CHP<br/>78A?</li> </ol> | ⊠ Yes        | □ No          | □ N/A | Remarks:  |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 9. | Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?   | ⊠ Yes | □ No | □ N/A | Remarks: Done at Headquarters |
|----|--|-------|------|-------|-------------------------------|
| 10 | . Is all work completed and accepted by the Department before expiration of contract agreement?  | ⊠ Yes | □No  | □ N/A | Remarks:                      |
| 11 | . Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?  | ⊠ Yes | □ No | □ N/A | Remarks:                      |
| 12 | Are invoices for payment reviewed and approved to<br>substantiate expenditures for work performed and to<br>prevent penalties being assessed?  | ⊠ Yes | □ No | □ N/A | Remarks:                      |
| 13 | Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?   | ⊠ Yes | □ No | □ N/A | Remarks:                      |
| 14 | . Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?  | ⊠ Yes | □ No | □ N/A | Remarks:                      |
| 15 | Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ⊠ Yes | □No  | □ N/A | Remarks:                      |
| 16 | . Are all applicable form sections of the CHP 78 completed?  | ⊠ Yes | ☐ No | □ N/A | Remarks:                      |
| 17 | Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ⊠ Yes | □No  | □ N/A | Remarks:                      |
| 18 | Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ⊠ Yes | □No  | □ N/A | Remarks:                      |
|    | Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ⊠ Yes | □No  | □ N/A | Remarks:                      |
| 20 | Are contract amendment request dollar amounts  | □Yes  | Пио  | ⊠ N/A | Remarks: Done at Headquarters |

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 21. Is the length of the contract amendment request more than one year?  | ⊠ Yes | □No  | □ N/A | Remarks: Done at Headquarters                    |
|--|-------|------|-------|--|
| 22. Are amendments requested before the expiration of the original contract?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?  | ☐ Yes | □ No | ⊠ N/A | Remarks: Not done at Area level.                 |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair   | ⊠ Yes | □No  | □ N/A | Remarks:   |
| (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services  |       |      |       |  |
| 26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | ⊠ Yes | No   | □ N/A | Remarks: Completed if on-site more than 30 days. |

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 27. | Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | ⊠ Yes | □ No | □ N/A | Remarks:                              |
|-----|---|-------|------|-------|---------------------------------------|
| 28. | Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ⊠ Yes | □No  | □ N/A | Remarks:                              |
| 29. | Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?   | ⊠ Yes | □No  | □ N/A | Remarks:                              |
| 30. | Is a log sheet maintained for a diary of activities related to the contract?  | ⊠ Yės | □No  | □ N/A | Remarks:                              |
| 31. | Is a computer file prepared for all contracts administered?   | ☐ Yes | ⊠ No | □ N/A | Remarks: Not completed at Area level. |
| 32. | Is a spreadsheet prepared listing all expenditures?   | ☐ Yes | ⊠ No | □ N/A | Remarks:                              |
| 33. | Is the notification to the contractor documented for the start date for services to begin?  | ⊠ Yes | □No  | □ N/A | Remarks:                              |
| 34. | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | ⊠ Yes | □No  | □ N/A | Remarks:                              |
|     | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ⊠ Yes | □No  | □ N/A | Remarks:                              |
| 36. | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ⊠ Yes | □No  | □ N/A | Remarks:                              |
| 37. | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ⊠ Yes | □ No | □ N/A | Remarks:                              |
|     | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ⊠ Yes | □ No | □ N/A | Remarks:                              |
| 39. | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)   | ⊠ Yes | ☐ No | □ N/A | Remarks:                              |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command:            | Division; | Number:    |
|---------------------|-----------|------------|
| Bishop Inland       |           | 825        |
| Evaluated by:       | Date:     |            |
| R.A. Stephens, Sgt. |           | 12/06/2208 |
| Assisted by:        | Date:     |            |
| OSS1 Brewe          | er        | 12/06/2008 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION   |                           | Lead Inspe | ctor's Signatu | ıre:  |              |  |
|--|---------------------------|------------|----------------|-------|--------------|--|
| ☐ Division Level   | Command Level             |            |                |       |              |  |
| ☐ Executive Office Level   | Voluntary Self-Inspection |            |                |       |              |  |
| Follow-up Required:  Yes No  | Follow-up Inspection      | Commande   | er's Signature | Spira | Date: 12.600 |  |
| For applicable policy, refer to: H   | PM 11.1, Chapter 23       |            |                |       |              |  |
| Are multiple X Numbers awa<br>to circumvent the \$4,999 co.  |                           | ☐ Yes      | ⊠ No           | □ N/A | Remarks:     |  |
| <ol> <li>Does all X Number file docu<br/>STD. 204 Payee Data Reco</li> </ol>   |                           | ⊠ Yes      | □No            | □ N/A | Remarks:     |  |
| Do X Numbers requiring a column landscaping) have prior appropriate Services Section commander                         | roval from the Business   | ⊠ Yes      | □No            | □ N/A | Remarks:     |  |
| 4. Are X Number requests mad services are performed?   | le prior to the date the  | ⊠ Yes      | □No            | □ N/A | Remarks:     |  |
| 5. Are X Numbers issued for a  | one-time use?             | ⊠ Yes      | □No            | □ N/A | Remarks:     |  |
| <ol><li>6. Are prohibited services perfo<br/>Number?</li></ol>   | ormed using an X          | ☐ Yes      | ⊠No            | □ N/A | Remarks:     |  |
| 7. Are X Numbers used for the service and not the purchase   |                           | ⊠ Yes      | □No            | □ N/A | Remarks:     |  |
| Are X Numbers issued for te<br>related services pre-approve<br>Telecommunications Section                              | ed by                     | ⊠ Yes      | □No            | □ N/A | Remarks:     |  |
| <ol> <li>Do X Numbers used for facil<br/>(such as roof repair, electrical<br/>have prior approval from Face</li> </ol> | al) costing over \$1,000  | ⊠ Yes      | □No            | □ N/A | Remarks:     |  |
| 10. Do X Numbers issued for lag<br>agreements have prior appro<br>Assistant Commissioner?                              |                           | ⊠ Yes      | □No            | □ N/A | Remarks:     |  |

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

|   | Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ⊠ Yes | □No | □ N/A | Remarks: Due to our rural location obtaining three separate bid's does not always occur. |
|---|---|-------|-----|-------|--|
|   | Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)? | ⊠ Yes | □No | □ N/A | Remarks:   |
|   | Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?                                     | ⊠ Yes | □No | □ N/A | Remarks:   |
|   | Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | □No | □ N/A | Remarks:   |
| 1 | Is the itemized invoice for each X Number service maintained in the command's files?  | ⊠ Yes | □No | □ N/A | Remarks:   |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command:       | Division:     | Number: |
|----------------|---------------|---------|
| Bishop         | Bishop Inland |         |
| Evaluated by:  | Date:         |         |
| R.A. Stephens, | 12/06/2008    |         |
| Assisted by:   |               | Date:   |
| OSS1 Brewer    | 12/06/2008    |         |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION   | Lead Inspector's Signature:  |  |  |  |  |
|--|------------------------------|--|--|--|--|
| ☐ Division Level ☐ Command Level   |                              |  |  |  |  |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection   | And d. Stehen                |  |  |  |  |
| Follow-up Required:  | Commander's Signature: Date: |  |  |  |  |
| For applicable policy, refer to: HPM 11.2, Chapter 3   |                              |  |  |  |  |
| <ol> <li>Are all employees associated with the use of the Cal-<br/>Card program completing the CHP 78S, Conflict of<br/>Interest Statement, Employee, form?</li> </ol> |                              |  |  |  |  |
| <ol> <li>Are STD. 21 Drug Free Workplace certifications<br/>maintained within the Cal Card command file for<br/>each vendor utilized?</li> </ol>                       |                              |  |  |  |  |
| 3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?  | ☐ Yes ☐ No ☐ N/A Remarks:    |  |  |  |  |
| 4. Are California Integrated Waste Management Board<br>Form 74 documents maintained for each vendor<br>utilized?   |                              |  |  |  |  |
| 5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?                  | ☐ Yes ☐ No ☐ N/A Remarks:    |  |  |  |  |
| 6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?  |                              |  |  |  |  |
| 7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?  | ☐ Yes ☐ No ☐ N/A Remarks:    |  |  |  |  |
| 8. Does the CHP 317 Cal Card Log fully describe the purchase?  |                              |  |  |  |  |
| <ol><li>Are bank statements reconciled with the CHP 317<br/>Cal Card Log and the receipts/invoices?</li></ol>  |                              |  |  |  |  |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10. Is the CHP 317 Cal Card Log properly authorized and maintained?   | ⊠ Yes | □ No | □ N/A | Remarks: |
|---|-------|------|-------|----------|
| Are credit invoices/receipts for returned items maintained with the bank statement?   | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement. | ⊠ Yes | □ No | □ N/A | Remarks: |
| 13. Are Cal Cards maintained in a secure area?  |       | □No  | □ N/A | Remarks: |
| 14. Are Cal Card purchases pre-approved by the commander?   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 15. Have all cardholders received training on the<br>Department's procurement processes?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 16. Are item(s) purchased with the Cal Card prohibited by departmental policy?  | ☐ Yes | ⊠ No | □ N/A | Remarks: |

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Division:<br>Inland | Chapter:<br>3, Cal Card Program |
|---------------------|---------------------------------|
|                     | Date:                           |
| s, #10174           | 01/13/09                        |
|                     | Inland                          |

| number of the inspection in the Chapter shall be routed to and its due date. The | er Inspection number. Under "Fonis document shall be utilized to c | oxes as necessary, or fill in the blanks as indicate<br>rward to:" enter the next level of command wher<br>document innovative practices, suggestions for so<br>be used to appeal findings. A CHP 51 Memoran | re the document<br>statewide |
|--|--|--|------------------------------|
| TYPE OF INSPECTION   |  | ☐ Corrective Action Plan Included  |                              |
| ☐ Division Level ☐ Command I   | Level  | │  |                              |
| ☐ Executive Office Level   |  | Attachments Included   |                              |
| Follow-up Required:  | Forward to:  | Commander's Signature:   | Date:                        |
| ☐ Yes  | Due Date:  | Cycll Share  | 1/20/09                      |
| Chapter Inspection:  |  |  |                              |
| Inspector's Comments Rega  | rding Innovative Practice  | es:  |                              |
| Inspector has not identified a   | any discrepancies. Area f  | ollows proper policy and procedures  | <b>.</b>                     |
| Command Suggestions for S  | tatewide Improvement:  |  |                              |
| Bishop Area strictly adheres   | to policy and closely mo   | nitors all transactions.   |                              |
| Inspector's Findings:  |  |  |                              |

Bishop Area Supervisors currently conduct quarterly audits of the Cal-Card Program. No discrepancies were noted and all paperwork follows policy as outlined in HPM 11.2, Chapter 3.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

| Command:<br>Bishop    | Division:<br>Inland | Chapter: 3 |  |
|-----------------------|---------------------|------------|--|
| Inspected by:         |                     | Date:      |  |
| Sgt. Stephens, #10174 |                     | 01/13/09   |  |

| Commander's Response:   |
|---|
| Commander assumes responsibility for the Bishop Command and ensures all policies and procedures |
| are strictly adhered to.  |

Inspector's Comments:

Management monitors Command procurements through quarterly audits and inspections.

Required Action

Corrective Action Plan/Timeline

None

### **COMMAND INSPECTION PROGRAM**

### **EXCEPTIONS DOCUMENT**

| Page | વ |
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Command: Division: Chapter: 3
Inspected by: Date: Sgt. Stephens, #10174

| Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection). | W. |
|---|----|
| Commander's Basis for Appeal:   |    |
| N/A   | _  |
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| Appeal Review/Decision: (This shall be the only level of appeal).   |    |
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|   |    |

| Lead Inspector's Signature                     | 10174 Date: |
|--|-------------|
| you & Stephene SG.                             | 1-13-2009   |
| Responding Commander's Signature (for appeal): | Date:       |

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Bishop    | Division:<br>Inland | Chapter:<br>3, Contracts |
|-----------------------|---------------------|--------------------------|
| Inspected by:         |                     | Date:                    |
| Sgt. Stephens, #10174 |                     | 01/13/09                 |
| * .                   |                     |                          |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: ☐ Yes ⊠ No Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: Inspector has not identified any discrepancies. Area follows proper policy and procedures. Command Suggestions for Statewide Improvement: Bishop Area strictly adheres to policy and closely monitors all transactions.

All contract requests are usually done by Facilities Section or Headquarters. Contract services are not documented at Area level and Area does not prepare a computer file for all contracts. This is also done at Headquarters or Facilities.

Inspector's Findings:

## **COMMAND INSPECTION PROGRAM**

### **EXCEPTIONS DOCUMENT**

| Page | 2 |
|------|---|
|------|---|

| Command:<br>Bishop                     | Division:<br>Inland | Chapter: 3     |  |
|--|---------------------|----------------|--|
| Inspected by:<br>Sgt. Stephens, #10174 |                     | Date: 01/13/09 |  |

Commander's Response: Commander assumes responsibility for the Bishop Command and ensures all policies and procedures are strictly adhered to.

Inspector's Comments:

Management monitors Command procurements through quarterly audits and inspections.

Required Action

Corrective Action Plan/Timeline

None

### **COMMAND INSPECTION PROGRAM**

### **EXCEPTIONS DOCUMENT**

Page 3

| Command:              | Division: | Chapter: | _ |
|-----------------------|-----------|----------|---|
| Bishop                | Inland    | 3        |   |
| Inspected by:         |           | Date:    | _ |
| Sgt. Stephens, #10174 |           | 01/13/09 |   |

| Appeal Process: (Appea | als shall be filed within five (5) | business days of the comp | leted chapter inspection) |    |
|------------------------|------------------------------------|---------------------------|---------------------------|----|
| Commander's Basis for  | Appeal:                            |                           |                           |    |
| N/A                    |                                    |                           |                           |    |
|                        | 4                                  |                           |                           |    |
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| 96                     | (*/                                |                           |                           |    |
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| F                      |                                    |                           |                           |    |
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|                        |                                    |                           |                           |    |
| Appeal Review/Decision | 1: (This shall be the only lev     | el of appeal).            |                           |    |

Lead Inspector's Signature)

1 Lead Inspector's Signature)

1 Lead Inspector's Signature)

1-13-200 9

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command: Division: Inland |  | Chapter:<br>3, Purchases |
|---------------------------|--|--------------------------|
| Inspected by:             |  | Date:                    |
| Sgt. Stephens, #10174     |  | 01/13/09                 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required.  |                             | be used to appear infamigs. A Office of Memoral   |  |  |
|--|-----------------------------|---|--|--|
| TYPE OF INSPECTION  Division Level Command  Executive Office Level  Follow-up Required:  Yes No  Chapter Inspection: | Level Forward to: Due Date: | ☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included Commander's Signature: | Date: 1/20/09  |  |
| Inspector's Comments Rega  | rding Innovative Practice   | es:   | (A) 19(19年19) 12 90 11 11 11 11 11 11 11 11 11 11 11 11 11 |  |
| Inspector has not identified any discrepancies. Area follows proper policy and procedures.                           |                             |   |  |  |
| Command Suggestions for S  | tatewide Improvement:       |   |  |  |
| Bishop Area strictly adheres to policy and closely monitors all transactions.  |                             |   |  |  |

Bishop Area Supervisors currently conduct quarterly audits of Area's purchases. No discrepancies were noted and all paperwork follows policy as outlined in HPM 11.2, Chapter 7. It should be noted that due to the rural location, competitive bids are not always possible.

Inspector's Findings:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

| Command: Division: Inland |  | Chapter: 3 |
|---------------------------|--|------------|
| Inspected by:             |  | Date:      |
| Sgt. Stephens, #10174     |  | 01/13/09   |

| Commander's Response: |
|-----------------------|
|-----------------------|

Commander assumes responsibility for the Bishop Command and ensures all policies and procedures are strictly adhered to.

Inspector's Comments:

Management monitors Command procurements through quarterly audits and inspections.

Required Action

Corrective Action Plan/Timeline

None

### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

Page 3

| Command:<br>Bishop    | Division:<br>Inland | Chapter:<br>3 |
|-----------------------|---------------------|---------------|
| Inspected by:         |                     | Date:         |
| Sgt. Stephens, #10174 |                     | 01/13/09      |

| Appeal Process: (Appeals shall be filed within five (5) business days of the completed | d chapter inspection). |
|--|------------------------|
| Commander's Basis for Appeal:  |                        |
| N/A  |                        |
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| Appeal Review/Decision: (This shall be the only level of appeal).                      |                        |
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# 10174

Date:

1-13-2009

Lead Inspector's Signature

Responding Commander's Signature (for appeal):

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Bishop             | Division:<br>Inland | Chapter:<br>3, X-Number<br>Program |  |
|--------------------------------|---------------------|------------------------------------|--|
| Inspected by:<br>Sgt. Stephens | s #10174            | Date:<br>01/13/09                  |  |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required.  | corrective action plans, and may | be used to appear infolligs. A CHF 51 Memoral |         |  |
|--|----------------------------------|---|---------|--|
| TYPE OF INSPECTION   |                                  | ☐ Corrective Action Plan Included             |         |  |
| ☐ Division Level ☒ Command   | Level                            | Appeal Included                               |         |  |
| Executive Office Level   |                                  | ☐ Attachments Included                        |         |  |
| Follow-up Required:  | Forward to:                      | Commander's Signature: Date:                  |         |  |
| ☐ Yes  | Due Date:                        | Capt of Shinn                                 | 1/20/09 |  |
| Chapter Inspection:  |                                  |   |         |  |
| Inspector's Comments Rega  | arding Innovative Practice       | es:   |         |  |
| Inspector has not identified any discrepancies. Area follows proper policy and procedures. |                                  |   |         |  |
| Command Suggestions for Statewide Improvement:   |                                  |   |         |  |
| Bishop Area strictly adheres to policy and closely monitors all transactions.              |                                  |   |         |  |

Inspector's Findings:

Bishop Area Supervisors currently conduct quarterly audits of the Area's X-Number Program. No discrepancies were noted and all paperwork follows policy as outlined in HPM 11.1, Chapter 23.

Due to Bishop Area's rural location obtaining three separate bids does not always occur.

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

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|---|----------|----|---|---|
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Command: Division: Chapter: 3
Bishop Inland

Inspected by: Date: 01/13/09

| Commander's Response:                               |   |
|---|---|
| Commander assumes responsibility for the Bishop Cor | nmand and ensures all policies and procedures |
| are strictly adhered to.                            |   |

Inspector's Comments:

Management monitors Command procurements through quarterly audits and inspections.

Required Action

Corrective Action Plan/Timeline

None

### **COMMAND INSPECTION PROGRAM**

### **EXCEPTIONS DOCUMENT**

Page 3

| Command: Division: Inland              |  | Chapter:<br>3  |  |  |
|--|--|----------------|--|--|
| Inspected by:<br>Sat. Stephens. #10174 |  | Date: 01/13/09 |  |  |

| Appeal Process:    | (Appeals shall be filed within five (5) business days of the completed chapter inspection). |
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| ALIGHEST TO SELECT |   |
| Commander's Ba     | sis for Appeai:   |
| N/A                |   |
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|-----------------------------|---------|-----------|--|
| Lead Inspector's Signature: | +/ ~    | Date:     |  |
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| you d. Swhen.               | 10-     | 1.15.0007 |  |

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| Command:<br>Bridgeport       | Division:<br>Inland | Number:        |
|------------------------------|---------------------|----------------|
| Evaluated by:<br>Gretchen Mo | ortgomery           | Date: 10/23/08 |
| Assisted by:                 |                     | Date:          |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION  |  | Lead Inspe | ector's Signat | ure:  |  |
|---|--|------------|----------------|-------|--|
| ☐ Division Level  | Command Level  | 1 at       | Mord           | gomo  | ery  |
| Executive Office Level  | ☐ Voluntary Self-Inspection                                |            |                | 0     |  |
| Follow-up Required:  Yes No   | ☐ Follow-up Inspection                                     | Command    | er's Signature | 2     | Date: 11/26/08                                       |
| For applicable policy, refer t  | o: HPM 11.2, Chapter 7                                     | \          | <              |       |  |
| command level familian<br>procedures for purchas  |  | ⊠ Yes      | □ No           | □ N/A | Remarks: recent<br>procurement trng<br>on 10/23/2008 |
| <ol><li>Have Approvers/review<br/>procurement training?</li></ol>   | ers of purchases received                                  | [] Yes     | ⊠ No           | □ N/A | Remarks:   |
| <ol><li>Are prohibited items pro<br/>Requisitions?</li></ol>  | ocured on CHP 43, Purchases                                | ☐ Yes      | ⊠ No           | □ N/A | Remarks:   |
| <ul> <li>Supplies for pe</li> <li>Commodities for</li> <li>Confirming order</li> <li>Purchases via</li> </ul> | er   |            | -              |       |  |
| 4. Are separate CHP 43s,<br>prepared for commodity<br>different suppliers or fro<br>commodity contracts?      | ritems obtainable from my different statewide              | ☐ Yes      | ⊠ No           | □ N/A | Remarks:   |
| <ol><li>Is all required information?</li></ol>  | on entered on the CHP 43,                                  | X Yes      | □No            | □ N/A | Remarks:   |
| consecutively, starting a fiscal year (July 1)?   | ase Requisitions, numbered<br>new at the beginning of each | Yes        | □No            | □ N/A | Remarks:   |
| 7. Are expedited requests forwarded to the Assista approval?  | for the purchase of goods<br>int Commissioner, Staff, for  | ⊠Yes       | □No            | □ N/A | Remarks:   |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

|   |                |      |       | ION CONTRACTOR OF THE PROPERTY |
|---|----------------|------|-------|--|
| Do specialized items purchased contain the appropriate Division, and/or OPI approvals?  | <b>⊠</b> Yes   | □ No | □ N/A | Remarks:   |
| <ol><li>Are the CHP 43, Purchase Requisitions, competitively bid?</li></ol>   | ⊠ Yes          | □No  | □ N/A | Auto Tech uses Remarks: purchasing services for best result  |
| 10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?   | .☐ Yes         | ⊠ No | □ N/A | Remarks: most PR's<br>are for tires<br>a commodity   |
| 11. Are Limited Competitive Bidding purchase requests<br>that limit or restrict the purchase to one specific<br>brand or model justified and in compliance with SAM<br>3555?  | []Yes          | □No  | ⊠ N/A | Remarks: that purchasing will get quotes   |
| 12. Are Limited Competitive Bidding purchase requests<br>for items that interface with existing departmental<br>equipment in compliance with SAM 3555.3?  | ☐ Yes          | □ No | ⊠.N/A | Remarks:   |
| 13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  | Yes            | □ No | ⊠ N/A | Remarks:   |
| 14. Are items checked immediately for content and damage when delivered?  | <b>⊠</b> , Yes | □No  | □ N/A | Remarks:   |
| 15. Is the "received copy" of the purchase order<br>approved, dated, and forwarded to the Fiscal<br>Management Section (FMS), Account Payable Unit,<br>within three business days of receipt, if all items are<br>accepted? | ⊠Yes           | □No  | □ N/A | Remarks:   |
| 16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?   | ∑Yes           | □ No | □ N/A | Remarks:   |
| 17. Is FMS provided a photocopy of the purchase order<br>and any approved freight or packing slips as<br>acknowledgement that a portion of the order has<br>been received?  | ☐ Yes          | ⊠ No | □ N/A | Remarks:   |
| 18. Is the original "received copy" retained by the<br>command for completion and forwarding to the FMS<br>when the complete shipment is received?  | ⊠Yes           | □No  | □ N/A | Remarks:   |
| 19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?  | Yes            | □ No | □ N/A | Remarks:   |
|   |                |      | I     | I  |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 20. Is Purchasing Services Unit (PSU) notified<br>immediately by telephone, followed in writing either<br>by a memorandum or e-mail, requesting cancellation<br>of the requisition or deletion of an item, if it is<br>determined that a commodity requested on a CHP 43<br>is no longer needed and a purchase order has not<br>yet been prepared? | Yes   | □ No  | ⊠ N/A | have not cancelled<br>a PR |
|--|---|-------|-------|----------------------------|
| <ol> <li>Are open purchase orders periodically reviewed and<br/>investigated to ensure the orders are not opened for<br/>an unreasonable length of time. (SAM 8422.0)</li> </ol>   | Yes      Y | □ No  | □ N/A | Remarks:                   |
| 22. Are copies of the purchase requisitions and purchase<br>orders maintained for three years after payment?<br>(SCM Vol. II, Ch. 11, Topic 4)   | XYes  | □ No  | □ N/A | Remarks:                   |
| 23. Are decisions documented to create a paper trail<br>documenting the basis of the decisions made for the<br>purchase? (SCM Vol II Ch. 2, Topic 11)  | ☐ Yes   | XĮ No | □ N/A | Remarks:                   |
| 24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)   | ☐ Yes   | ΜNο   | □ N/A | Remarks:                   |

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:      | Division: | Chapter:     |
|---------------|-----------|--------------|
| Bridgeport    | Inland    | 3; Purchases |
| Inspected by: |           | Date:        |
| G. Montgomery |           | 11/14/2008   |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| YPE OF INSPECTION  Division Level Command Level |                                | Corrective Action Plan Included |                        |  |
|---|--------------------------------|---------------------------------|------------------------|--|
|   |                                | Appeal Included                 |                        |  |
| ☐ Executive Office Level                        | Executive Office Level         |                                 | ☐ Attachments Included |  |
| Follow-up Required:                             | Forward to:<br>Inland Division | Commander's Signature:          | Date:                  |  |
| ☐ Yes   I No                                    | Due Date: <u>12/31/2008</u>    | Dr San                          | 1-6-09                 |  |
| Chapter Inspection: Chap                        | oter 3; Purchases              |                                 |                        |  |
| nspector's Comments Re                          | egarding Innovative Practic    | ces:                            |                        |  |

It would be of great assistance if Headquarters published a list of current vendors under contract for commodity purchases.

### Command Suggestions for Statewide Improvement:

The suggestion made above would benefit the entire Department and reduce the need for assistance from Headquarters.

### Inspector's Findings:

The vast majority of purchases are for items related to Fleet Operations.

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 2

| Command:      | Division: | Chapter:     |
|---------------|-----------|--------------|
| Bridgeport    | Inland    | 3; Purchases |
| Inspected by: |           | Date:        |
| G. Montgomery |           | 11/14/2008   |

| Commander's Response:                            |  |
|--|--|
| I concur most purchases are for Fleet Operations |  |
|  |  |
|  |  |
| Inspector's Comments:                            |  |
| None   |  |
|  |  |

Required Action: None

Corrective Action Plan/Timeline:

DNA

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

| Command:      | Division: | Chapter:     |
|---------------|-----------|--------------|
| Bridgeport    | Inland    | 3; Purchases |
| Inspected by: |           | Date:        |
| G. Montgomery |           | 11/14/2008   |

| Appeal Process: (Appeals shall be filed within five (5) business days of the | ne completed chapter inspection)        |
|--|---|
|  | AND |
| Commander's Basis for Appeal:  |   |
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| Appeal Review/Decision: (This shall be the only level of appeal).            |   |
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| ead Inspector's Signature:   | l Date:                                 |
| 18 Vin for   | Date: 11/14/03                          |
| esponding Commander's Signature (for appeal):                                | Date:                                   |
|  |   |

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command: Pridalport | Division: | Number:        |
|---------------------|-----------|----------------|
|                     | ntgomer/  | Date: 11/14/08 |
| Assisted by:        |           | Date:          |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE C | OF INSPECTION   |   | Lead Insp    | ector's Signat | ure:   |          |                |
|--------|---|---|--------------|----------------|--------|----------|----------------|
| -      | rision Level<br>ecutive Office Level                                    | <ul><li>☑ Command Level</li><li>☐ Voluntary Self-Inspection</li></ul>     | gmontgomery  |                |        |          |                |
| Fo     | ollow-up Required:<br>Yes 🔀 No  | Follow-up Inspection  | Command      | er's Signature |        |          | Date: 11/26/08 |
| For a  | oplicable policy, refer to  | o: HPM 11.1, Chapter 23   |              |                |        | 7        | (              |
| 1.     | Are multiple X Numbers to circumvent the \$4,99                         | s awarded to the same vendor<br>19 contract limit?                        | ☐ Yes        | No №           | □ N/A  | Remarks: |                |
| 2.     | Does all X Number file<br>STD. 204 Payee Data I                         | documentation contain the<br>Record?                                      | ∑ Yes        | □No            | □ N/A  | Remarks: |                |
| 3.     |   | g a contract (i.e., janitorial or<br>approval from the Business<br>ander? | ☐ Yes        | ☐ No           | ⊠ N/A  | Remarks: |                |
| 4.     | Are X Number requests services are performed                            | made prior to the date the ?  | ⊠ Yes        | □ No           | □ N/A  | Remarks: |                |
| 5.     | Are X Numbers issued  | for a one-time use?   | <b>⊠</b> Yes | □No            | □ N/A  | Remarks: |                |
| 6.     | Are prohibited services Number?   | <u>-</u>  | ☐ Yes        | ⊠ No           | □ N/A  | Remarks: |                |
|        | Are X Numbers used for service and not the purc                         | chase of a commodity?   | ⊠Yes         | ☐ No           | □ N/A  | Remarks: |                |
|        | Are X Numbers issued frelated services pre-app<br>Telecommunications Se | ction?  | ☐ Yes        | □ No           | ⊠, N/A | Remarks: |                |
|        | (such as roof repair, election have prior approval from                 |   | Yes          | ☐ No           | □ N/A  | Remarks: |                |
| 10.    | Do X Numbers issued for agreements have prior a Assistant Commissioner  | pproval by the appropriate  | Yes          | ☐ No           | ⊠ N/A  | Remarks: |                |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

|      | Il X Numbers awarded to a non-small business or contain three price quotations?   | ⊠ Yes | ☐ No | □ N/A | Remarks: |
|------|---|-------|------|-------|----------|
| vend | II X Numbers awarded to a small business or contain the small business certification from Department of General Services (DGS)? | ☐ Yes | □No  | ⊠ N/A | Remarks: |
|      | s the file documentation contain the STD. 21 Free workplace certification for X Number ors?                                     | ⊠ Yes | □No  | □ N/A | Remarks: |
|      | mergency service X Numbers document and y the emergency?  | ⊠Yes  | ☐ No | □ N/A | Remarks: |
|      | e itemized invoice for each X Number service tained in the command's files?   | ⊠Yes  | □No  | □ N/A | Remarks: |

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:      | Division: | Chapter:    |
|---------------|-----------|-------------|
| Bridgeport    | Inland    | 3; X Number |
| Inspected by: |           | Date:       |
| G. Montgomery |           | 11/14/2008  |

| ter Inspection number. Under "Fo<br>his document shall be utilized to   | prward to:" enter the next level of command whe<br>document innovative practices, suggestions for   | re the document<br>statewide  |  |  |  |  |  |
|---|---|---|--|--|--|--|--|
| TYPE OF INSPECTION  Division Level Command Level  Executive Office Level  Follow-up Required:  Inland Division  Pure Date: 12/31/2008 |   | Date:   |  |  |  |  |  |
| Chapter Inspection: Chapter 3; X Number  Inspector's Comments Regarding Innovative Practices:  None                                   |   |   |  |  |  |  |  |
| Statewide Improvement:  |   |   |  |  |  |  |  |
|   | er Inspection number. Under "Fohis document shall be utilized to corrective action plans, and may be be be better the corrective action plans, and may be be be better to be be be be be better to be | Attachments Included  Commander's Signature:  Due Date: 12/31/2008  Tarding Innovative Practices: |  |  |  |  |  |

Due to the remote Area of the Command, the three bid requirement is extremely difficult to obtain. Certified Small Business and Minority Owned Businesses are few and far between. Many businesses contacted are not aware of the Certified Small Business program

Inspector's Findings:

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 2

| Command:      | Division: | Chapter:    |
|---------------|-----------|-------------|
| Bridgeport    | Inland    | 3; X Number |
| Inspected by: |           | Date:       |
| G. Montgomery |           | 11/14/2008  |

| Commander's Response:   |
|---|
| The Area routinely explains the process for business owners to apply to be Certified Small Business status. |
| Inspector's Comments:   |
| None  |
|   |
| Required Action: None   |

DNA

Corrective Action Plan/Timeline:

## **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

| Page | 3 |
|------|---|
|------|---|

Command: Division: Chapter:
Bridgeport Inland 3; X Number
Inspected by: Date:
G. Montgomery 11/14/2008

| Appeal Process: (Appeals shall be filed within five (5) business days of the Commander's Basis for Appeal: | e completed chapter inspection).   |
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| Appeal Review/Decision: (This shall be the only level of appeal).  |  |
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| Responding Commander's Signature (for appeal):   | Date:  |
| responding Continuations Signature (for appeal).   | Date.  |

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STATE OF CALIFORNIA DÉPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command:      | Division: | Number:  |
|---------------|-----------|----------|
| Bridgeport    | Inland    | 820      |
| Evaluated by: |           | Date:    |
| Gretchen Mo   | intgomery | 01/06/09 |
| Assisted by:  |           | Date:    |
|               |           |          |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION

Lead Inspector's Signature:

Division Level

Command Level

| 1   | THO ECTION   |  | Load mop | cotor 5 Orginat | aro.  |          |       |
|---|--|--|----------|-----------------|-------|----------|-------|
| ☐ Division Level                                      |  | amontgomery  |          |                 |       |          |       |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection  |  |  |          |                 |       |          |       |
| Fo  | ollow-up Required:<br>☐ Yes ☐ No                   | ☐ Follow-up Inspection   | Command  | er's Signature  |       |          | Date: |
| For applicable policy, refer to: HPM 11.1, Chapter 22 |  |  |          |                 |       |          |       |
| 1.  |  | Request used to initiate all are repetitive, regardless of lue?  | ☐ Yes    | ⊠.No            | □ N/A | Remarks: |       |
| 2.  | Is a CHP 78 Contract services exceeding \$4,       | Request used for one-time<br>999.99?   | ☐ Yes    | ⊠ No            | □ N/A | Remarks: |       |
| 3.  |  | with the requesting command e used, followed by "CP" for   | ☐ Yes    | ⊠ No            | □ N/A | Remarks: |       |
| 4.  | Is the performance of cand documented?             | ontract services monitored   | ☐ Yes    | ⊠ No            | □ N/A | Remarks: |       |
| 5.  | Are all copies of corres maintained?               | pondence with the vendor   | ⊠ Yes .  | ☐ No            | □ N/A | Remarks: |       |
| 6.  |  | documented and maintained ems related to substandard or vendor?  | ⊠ Yes    | ☐ No            | □ N/A | Remarks: | н     |
| <b>7.</b>   |  | e delivered described<br>uch detail as possible in the   | ⊠ Yes    | □ No            | □ N/A | Remarks: |       |
| 8.  | including the required d<br>for expedite and emerg | f approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, rarding the CHP 78 or CHP | Yes      | □ No            | ⊠ N/A | Remarks: |       |

#### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

| 9. | Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
|----|--|-------|------|-------|----------|
| 10 | Is all work completed and accepted by the Department before expiration of contract agreement?  | X Yes | □No  | □ N/A | Remarks: |
| 11 | Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 12 | . Are invoices for payment reviewed and approved to<br>substantiate expenditures for work performed and to<br>prevent penalties being assessed?  | ⊠Yes  | □No  | □ N/A | Remarks: |
| 13 | Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?  | ☐ Yes | ∏ No | ⊠ N/A | Remarks: |
| 14 | . Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 15 | . Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 16 | . Are all applicable form sections of the CHP 78 completed?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 17 | Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 18 | Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ☐ Ÿes | ⊠ No | □ N/A | Remarks: |
| 19 | Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 20 | Are contract amendment request dollar amounts  | □ Yes | ΠNo  | ⊠ N/A | Remarks: |

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### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 21. Is the length of the contract amendment request<br>more than one year?  | ☐ Yes  | ☐ No | ₩ N/A | Remarks: |
|---|--------|------|-------|----------|
| 22. Are amendments requested before the expiration of<br>the original contract?   | ☐ Yes  | □No  | ⊠ N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request<br>initiated for any commercial meeting/conference<br>room rental which is expected to exceed \$4,999.99 in<br>total cost?  | ☐ Yes  | □ No | ⊠ N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?   | ☐ Yes  | □No  | ⊠ N/A | Remarks: |
| <ul> <li>25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:</li> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>  | ☐ Yes  | □No  | ⊠ N/A | Remarks: |
| 26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair | Ţ□ Yes | ⊠ No | □ N/A | Remarks: |

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 27  | . Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | ☐ Yes | ⊠ No | □ N/A | Remarks: |
|-----|---|-------|------|-------|----------|
| 28  | Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ☐ Yes | ⊠No  | □ N/A | Remarks: |
| 29. | Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 30. | Is a log sheet maintained for a diary of activities related to the contract?  | ☐ Yes | ⊠ No | □ N/A | Remarks: |
| 31. | Is a computer file prepared for all contracts administered?   | ☐ Yes | ⊠ No | □ N/A | Remarks: |
| 32. | Is a spreadsheet prepared listing all expenditures?   | ☐ Yes | ⊠ No | □ N/A | Remarks: |
| 33. | Is the notification to the contractor documented for the start date for services to begin?  | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 34. | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | ☐ Yes | ⊠No  | □ N/A | Remarks: |
| 35. | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | Yes   | □No  | ⊠ N/A | Remarks: |
| 36. | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 37. | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 38. | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 39. | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)   | ☐ Yes | ⊠ No | □ N/A | Remarks: |

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:      | Division: | Chapter:     |
|---------------|-----------|--------------|
| Bridgeport    | Inland    | 3; Contracts |
| Inspected by: |           | Date:        |
| G. Montgome   | ry        | 01/06/2009   |

| number of the inspection in the Chapte shall be routed to and its due date. The | er Inspection number. Under "Fonis document shall be utilized to | oxes as necessary, or fill in the blanks as indicated broward to:" enter the next level of command when document innovative practices, suggestions for subject to appeal findings. A CHP 51 Memoran | re the document<br>statewide |
|---|--|---|------------------------------|
| TYPE OF INSPECTION  |  | ☐ Corrective Action Plan Included   |                              |
| ☐ Division Level ☐ Command I  | Level  | Appeal Included   |                              |
| Executive Office Level  |  | Attachments Included  |                              |
| Follow-up Required:   | Forward to:<br>Inland Division                                   | Commander's Signature:  | Date:                        |
| ☐ Yes   ☑ No  | Due Date: <u>12/31/2008</u>                                      | 192   | 1-6-05                       |
| Chapter Inspection: Chapter   | 3: Contracts   |   |                              |
| Inspector's Comments Regar  | SEAT AND A SEATON OF THE   |   |                              |
| None  Command Suggestions for Si  | totouide Improvement   |   |                              |
| Command Suggestions for S   | tatewide Improvement:  |   |                              |
| None  |  |   |                              |
| Inspector's Findings:   |  |   |                              |

The Area relies on Headquarters to ensure contracts are completed on an annual basis. The Area oversees that the requirements of the contract are met and the appropriate service is completed.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT Page 2

| Command:      | Division: | Chapter:     |
|---------------|-----------|--------------|
| Bridgeport    | Inland    | 3; Contracts |
| Inspected by: |           | Date:        |
| G. Montgomer  | У         | 01/06/2009   |

| Commander's Re | esponse: |
|----------------|----------|
|----------------|----------|

The requirement that contracts are administered and completed by Headquarters lessens the workload on the Area. The fact the contracts are handled by Headquarters ensures statewide continuity for contracted services.

Inspector's Comments:

None

Required Action: None

Corrective Action Plan/Timeline:

DNA

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

| Command:      | Division: | Chapter:     |
|---------------|-----------|--------------|
| Bridgeport    | Inland    | 3; Contracts |
| Inspected by: |           | Date:        |
| G. Montgome   | ry        | 01/06/2009   |

| Appeal Process: (Appeals shall be filed within five (5) business days of the | e completed chapter inspection). |
|--|----------------------------------|
| Commander's Basis for Appeal:  |                                  |
| DNA  |                                  |
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| Appeal Review/Decision: (This shall be the only level of appeal).            |                                  |
| DNA  |                                  |
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|  |                                  |
| Lead Inspector's Signature:  | Date: 1/6/09                     |
| Responding Commander's Signature (for appeal):                               | Date:                            |

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command<br>Bridgeport      | Division<br>Inland | Number:<br>820      |
|----------------------------|--------------------|---------------------|
| Evaluated by G. Montgomery | **                 | Date:<br>10/27/2008 |
| Assisted by:               |                    | Date.               |
|                            |                    |                     |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE O | F INSPECTION   | Lead Inspe | ector's Signatu | ire:  |   |
|--------|--|------------|-----------------|-------|---|
| Div    | ision Level 🔀 Command Level  |            |                 |       | DC CT   |
| ☐ Exe  | ecutive Office Level   | COMO       | ntgor           | nluy, | 0551  |
| Fo     | llow-up Required: ☐ Follow-up Inspection   | Gemmande   | er's Signature  | )     | Date:   |
|        | Yes 🛛 No   | P          | 1               |       | 15/10/08  |
| For ap | oplicable policy, refer to: HPM 11.2, Chapter 3  | \          | 7               |       | , ,   |
| 1.     | Are all employees associated with the tise of the Cal-<br>Card program completing the CHP 78S, Conflict of<br>Interest Statement, Employee, form?  | ⊠Yes       | □ No            | □ N/A | Remarks*  |
| 2      | Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?                               | Yes        | ☐ No            | □ N/A | Remarks   |
| 3.     | Are STD, 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?   | ⊠ Yes      | □No             | □ N/A | Remarks:  |
| 4      | Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?  | ☐ Yes      | ⊠ No            | □ N/A | Remarks:  |
| 5.     | If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file? | ∑ Yes      | □No             | □ N/A | Remarks:  |
| 6.     | When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?   | ¥ Yes      | □No             | □ N/A | Remarks: Small area, not<br>many vendors<br>available |
| 7      | Are purchases split into multiple transactions in order to circumvent transaction purchase limits?   | ☐ Yes      | <b>₽</b> No     | □ N/A | Remarks:  |
| 8.     | Does the CHP 317 Cal Card Log fully describe the purchase?   | ĭ¥Yes      | ☐ No            | □ N/A | Remarks:  |
| 9      | Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?  | ⊠Yes       | □No             | □ N/A | Remarks   |

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10  | . Is the CHP 317 Cal Card Log properly authorized and maintained?   | ⊠Yes         | □No         | □ N/A | Remarks:                                      |
|-----|---|--------------|-------------|-------|---|
| 11  | Are credit invoices/receipts for returned items maintained with the bank statement?   | <b>⊠</b> Yes | ☐ No        | □ N/A | Remarks:                                      |
| 12  | Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement. | ⊠ Yes        | □ No        | □ N/A | Remarks:                                      |
| 13  | Are Cal Cards maintained in a secure area?  | ✓ Yes        | [] No       | □ N/A | Remarks:                                      |
| 14  | Are Cal Card purchases pre-approved by the commander?   | ⊠ Yes        | □ No        | □ N/A | Remarks:                                      |
| 15  | Have all cardholders received training on the Department's procurement processes?   | ⊠ Yes        | □No         | □ N/A | Remarks:                                      |
| 16. | Are item(s) purchased with the Cal Card prohibited by departmental policy?  | ☐ Yes        | <b>⊠</b> 10 | □ N/A | Remarks: list of prohibited items in file for |
|     |   |              |             |       | anich rafavarices                             |

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:      | Division: | Chapter:    |
|---------------|-----------|-------------|
| Bridgeport    | Inland    | 3; Cal Card |
| Inspected by: |           | Date:       |
| G. Montgome   | ry        | 10/27/2008  |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Forward to: Date: Follow-up Required: Inland Division TINO ☐ Yes Due Date: 12/31/2008 1-6-09 Chapter Inspection: Chapter 3; Cal Card Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement: None Inspector's Findings:

The Cal Card program has streamlined the Area's ability to purchase required items in an efficient manner.

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 2

| Command:      | Division: | Chapter:    |
|---------------|-----------|-------------|
| Bridgeport    | Inland    | 3; Cal Card |
| Inspected by: |           | Date:       |
| G. Montgome   | ry        | 10/27/2008  |

Required Action: None

Corrective Action Plan/Timeline:

DNA

## **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Page 3

| Command:      | Division: | Chapter:    |
|---------------|-----------|-------------|
| Bridgeport    | Inland    | 3; Cal Card |
| Inspected by: | -         | Date:       |
| G. Montgome   | rv        | 10/27/2008  |

| Appeal Process: (Appeals shall be filed within five (5) business days of the | e completed chapter inspection)  |
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|  | Assembled on optor in operatory. |
| Commander's Basis for Appeal:  |                                  |
| DNA  |                                  |
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| Appeal Review/Decision: (This shall be the only level of appeal).            |                                  |
| DNA  |                                  |
| DNA  |                                  |
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| Lead Inspector's Signature:  | Date:                            |
| Stone 100x   | 12/10/0P                         |
| Responding Commander's Signature (for appeal):                               | Date:                            |
|  |                                  |

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command: Inland Comm                      | Division:<br>Inland | Number:      |  |
|---|---------------------|--------------|--|
| Evaluated by:<br>PSDSII Ta Lisa Rodriguez |                     | Date: 5/5/09 |  |
| Assisted by:<br>OT Suzie Shaffer          |                     | Date: 5/5/09 |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION  |          |                |        |          |
|---|----------|----------------|--------|----------|
|   | Lead Ins | spector's Sign | ature: |          |
| ☐ Division Level ☐ Command Level  | 11 (     |                | 1 .1   | 120      |
| Executive Office Level  Voluntary Self-Inspectio  |          | $\angle$ X     | JU,    | Keg)     |
| Follow-up Required:   | Comman   | der's Signatu  | re:    | Date:    |
| ☐ Yes ☐ No  | A.       | I LIST         |        | 5.7.09   |
| For applicable policy, refer to: HPM 11.2, Chapter 3  |          |                |        |          |
| Are all employees associated with the use of the Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | - ⊠ Yes  | □No            | □ N/A  | Remarks  |
| <ol> <li>Are STD. 21 Drug Free Workplace certifications<br/>maintained within the Cal Card command file for<br/>each vendor utilized?</li> </ol>  | ⊠ Yes    | ☐ No           | □ N/A  | Remarks: |
| <ol> <li>Are STD. 204 Payee Data Record forms maintained<br/>in the Cal Card command file for each vendor<br/>utilized?</li> </ol>  | ⊠ Yes    | ☐ No           | □ N/A  | Remarks  |
| 4. Are California Integrated Waste Management Board<br>Form 74 documents maintained for each vendor<br>utilized?  | ⊠ Yes    | □No            | □ N/A  | Remarks: |
| 5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?   | ⊠ Yes    | □ No           | □ N/A  | Remarks: |
| 6. When fair and reasonable is utilized, is the fair and<br>reasonable method documented and properly<br>justified?   | ⊠ Yes    | □No            | □ N/A  | Remarks: |
| 7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?   | ☐ Yes    | ⊠ No           | □ N/A  | Remarks  |
| Does the CHP 317 Cal Card Log fully describe the purchase?      Arc hank statement and the statement of | ⊠ Yes    | □No            | □ N/A  | Remarks. |
| 9. Are bank statements reconciled with the CHP 317<br>Cal Card Log and the receipts/invoices?   | ⊠ Yes    | □No            | □ N/A  | Remarks: |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10. Is the CHP 317 Cal Card Log properly authorized and maintained?  | ⊠ Yes | □No    | □ N/A | Remarks  |
|--|-------|--------|-------|----------|
| Are credit invoices/receipts for returned items maintained with the bank statement?  | ⊠ Yes | ☐ No   | □ N/A | Remarks: |
| 12. Do non-itemized purchase receipts/invoices<br>document the purchase by listing the commodity,<br>quantity, and unit price of the item(s) purchased on<br>the bank statement. | ⊠ Yes | □No    | □ N/A | Remarks: |
| 13. Are Cal Cards maintained in a secure area?   |       |        |       |          |
|  |       | □No    | □ N/A | Remarks: |
| 14. Are Cal Card purchases pre-approved by the commander?  | ⊠ Yes | ☐ No   | □ N/A | Remarks: |
| 15. Have all cardholders received training on the<br>Department's procurement processes?   | ⊠ Yes | □No    | □ N/A | Remarks  |
| 16. Are item(s) purchased with the Cal Card prohibited by departmental policy?   | ☐ Yes | ⊠ No - | □ N/A | Remarks: |

#### **COMMAND INSPECTION PROGRAM**

#### **EXCEPTIONS DOCUMENT**

Page 1 of 2

| Command:                 | Division: | Chapter: |   |
|--------------------------|-----------|----------|---|
| Inland Comm              | Inland    | 3        |   |
| Inspected by:            |           | Date:    |   |
| PSDSII Ta Lisa Rodriguez |           | 5/5/09   |   |
|                          |           |          | - |

| INSTRUCTIONS: This document shall be number of the inspection in the Chapter shall be routed to and its due date. This improvement, identified deficiencies, con | Inspection documents | on number. Under "Forw<br>ent shall be utilized to doc | ard to:" enter the r<br>ument innovative | r fill in the blanks as indicated. Enter the chapter<br>next level of command where the document<br>practices, suggestions for statewide<br>be used if additional space is required. |
|--|----------------------|--|--|--|
| TYPE OF INSPECTION  ☐ Division Level ☐ Command Level ☐ Executive Office Level  |                      | Total hours expended on the inspection:                |  | ☐ Corrective Action Plan Included ☐ Attachments Included   |
| Follow-up Required:<br>☐ Yes ⊠ No  | Forwa                |  |  |  |
| Chapter Inspection: Inspector's Comments Regar None  | ding Ir              | nnovative Practices                                    |  |  |
| Command Suggestions for St<br>None  Inspector's Findings:  Area is in compliance with  |                      |  | nd procedure                             | s outlined in the Cal-Card Program.  |
| Commander's Response: 🗵  | Concu                | r or □ Do Not Con                                      | cur (Do Not Co                           | ncur shall document basis for response)  |
|  |                      |  |  |  |
|  |                      |  |  |  |
|  |                      |  |  |  |
| Inspector's Comments: Shall a etc.)  | address              | non concurrence by c                                   | ommander (e.g.                           | , findings revised, findings unchanged,  |

#### COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2 of 2

| Command:                        | Division: | Chapter:        |  |
|---------------------------------|-----------|-----------------|--|
| Inland Comm                     | Inland    | 3               |  |
| Inspected by:<br>PSDSII Ta Lisa | Rodriguez | Date:<br>5/5/09 |  |

|                                 | MESTINE TO THE WHEN FOR THE SAME |
|---------------------------------|----------------------------------|
| Required Action                 |                                  |
|                                 |                                  |
| Corrective Action Plan/Timeline |                                  |

| Employee would like to discuss this report with the reviewer.  (See HPM 9.1, Chapter 8 for appeal procedures.) | COMMANDER'S SIGNATURE | 6.18. 8      |
|--|-----------------------|--------------|
|  | INSPECTOR'S SIGNATURE | DATE / 18/09 |
| Reviewer discussed this report with employee Concur Do not concur  | REVIEWER'S SIGNATURE  | 6/23/19      |
|  | TP                    | //           |

CHP 680A (Rev 02-09) OPI 010

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

|                  |             | •      |  |
|------------------|-------------|--------|--|
| Command.         | Division: I | Number |  |
| Inland Comm      | Inland      |        |  |
| Evaluated by:    |             | Date:  |  |
| PSDSII Ta Lisa   | Rodriguez   | 5/5/09 |  |
| Assisted by:     | •           | Date:  |  |
| OT Suzie Shaffer |             | 5/5/09 |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level ○ Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Follow-up Required: Commander's/Signature Yes ⊠ No Follow-up Inspection For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the command level familiar with the related policies and ⊠ Yes Remarks □ N/A No procedures for purchasing? 2. Have Approvers/reviewers of purchases received procurement training? Remarks: ☐ No □ N/A 3. Are prohibited items procured on CHP 43, Purchases Requisitions? Remarks. ☐ Yes ⊠ No □ N/A Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from ⊠ Yes Remarks: No □ N/A different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Purchase Requisition? Remarks: ⊠ Yes □ No ☐ N/A Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each Remarks. X Yes □ No □ N/A fiscal year (July 1)? Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for ⊠ Yes Remarks: ☐ No  $\square$  N/A approval?

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

|   | Do specialized items purchased contain the  |       |   |       |   |
|---|---|-------|---|-------|---|
|   | appropriate Division, and/or OPI approvals?   | ⊠ Yes | s \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ | □ N/A | Remarks   |
|   | Are the CHP 43, Purchase Requisitions, competitively bid?   | ⊠ Yes | □No                                     | □ N/A | Remarks:  |
|   | 10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?   | ⊠ Yes | □No                                     | □ N/A | Remarks:  |
|   | 11. Are Limited Competitive Bidding purchase requests<br>that limit or restrict the purchase to one specific<br>brand or model justified and in compliance with SAM<br>3555?  | ☐ Yes | □No                                     | ⊠ N/A | Remarks:<br>ICC does not process Limited<br>Competitive Bidding purchase<br>requests. |
|   | Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?  | ☐ Yes | □No                                     | ⊠ N/A | Remarks: ICC does not process Limited Competitive Bidding purchase requests.          |
|   | 13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  | ☐ Yes | ☐ No                                    | ⊠ N/A | Remarks:<br>ICC does not process Non-<br>Competitive Bid purchase requests.           |
|   | 14. Are items checked immediately for content and damage when delivered?  | ⊠ Yes | □No                                     | □ N/A | Remarks:  |
|   | 15. Is the "received copy" of the purchase order<br>approved, dated, and forwarded to the Fiscal<br>Management Section (FMS), Account Payable Unit,<br>within three business days of receipt, if all items are<br>accepted? | ⊠ Yes | ☐ No                                    | □ N/A | Remarks.  |
|   | Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?   | ⊠ Yes | □No                                     | □ N/A | Remarks:  |
|   | 17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?   | ⊠ Yes | □No                                     | □ N/A | Remarks   |
|   | 18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  | ⊠ Yes | □No                                     | □ N/A | Remarks.  |
|   | 19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?  | ⊠ Yes | □No                                     | □ N/A | Remarks   |
| - |   | 1     |   |       |   |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

|   | 20. Is Purchasing Services Unit (PSU) notified  |       | T    | 1     | T   |
|---|---|-------|------|-------|---|
|   | immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared? | ⊠ Yes | □ No | □ N/A | Remarks:  |
| 1 | 24 4  |       |      |       |   |
|   | <ol> <li>Are open purchase orders periodically reviewed and<br/>investigated to ensure the orders are not opened for<br/>an unreasonable length of time. (SAM 8422.0)</li> </ol>  | ☐ Yes | □ No | ⊠ N/A | Remarks:<br>ICC has never had any open<br>purchase orders |
|   | 22. Are copies of the purchase requisitions and purchase<br>orders maintained for three years after payment?<br>(SCM Vol. II, Ch. 11, Topic 4)  | ⊠ Yes | □No  | □ N/A | Remarks:  |
|   |   |       |      |       |   |
|   | 23. Are decisions documented to create a paper trail<br>documenting the basis of the decisions made for the<br>purchase? (SCM Vol II Ch. 2, Topic 11)   | ⊠ Yes | □No  | □ N/A | Remarks:  |
|   | 24. Are purchase orders split to evade competitive  |       |      |       |   |
|   | bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)   | ☐ Yes | ⊠ No | □ N/A | Remarks:  |
|   |   |       |      |       |   |

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Inspected by        | y:      |           |
|---------------------|---------|-----------|
| PSDSII <sup>*</sup> | Ta Lisa | Rodriguez |

Inland Comm

Command:

Division: Inland Chapter:

Date: 5/5/09

#### Page 1 of 3

| INSTRUCTIONS: This document shall be number of the inspection in the Chapter shall be routed to and its due date. This improvement, identified deficiencies, con | Inspection documents | on number. Under "Forw<br>ent shall be utilized to doo | ard to:" enter the nex<br>cument innovative pra | I in the blanks as indicated. Enter the chapter to level of command where the document actices, suggestions for statewide used if additional space is required. |
|--|----------------------|--|---|---|
| TYPE OF INSPECTION  Division Level Command L  Executive Office Level   | ₋evel                | Total hours expender inspection:                       | d on the  | <ul><li>☐ Corrective Action Plan Included</li><li>☐ Attachments Included</li></ul>  |
| Follow-up Required:  | Forwa                | rd to:   |   |   |
| ☐ Yes  | Due D                | ate:   |   |   |
| <b>"在多数的学生的</b> "是他们并可能是规律   | A setting            |  | SETTING THE                                     |   |
| Chapter Inspection:  |                      |  |   |   |
| Inspector's Comments Regar   | ding Ir              | novative Practices                                     | SI  |   |
| None   |                      |  |   |   |
| Command Suggestions for S  | tatewic              | de Improvement:  | +   |   |
| None   |                      |  |   |   |
|  |                      |  |   |   |
| Inspector's Findings:  |                      |  |   |   |
| Area is in compliance wit<br>Procurement Purchases.  | h depa               | artmental policies a                                   | nd procedures                                   | outlined for Command  |
| Commander's Response:  | Conci                | ır or □ Do Not Cor                                     | cur (Do Not Cond                                | cur shall document basis for response)  |
| Communication of tespender 25  |                      |  |   |   |

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2 of 3

| Command:<br>Inland Comm         | Division:<br>Inland | Chapter:        |  |
|---------------------------------|---------------------|-----------------|--|
| Inspected by:<br>PSDSII Ta Lisa | 0.00                | Date:<br>5/5/09 |  |

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3 of 3

| Command:<br>Inland Comm         | Division:<br>Inland | Chapter:        |  |
|---------------------------------|---------------------|-----------------|--|
| Inspected by:<br>PSDSII Ta Lisa | Rodriguez           | Date:<br>5/5/09 |  |

| Required Action                 | Service Company |
|---------------------------------|-----------------|
| Corrective Action Plan/Timeline | EANILYMS        |
|                                 |                 |

| Employee would like to discuss this report with the reviewer.  (See HPM 9.1, Chapter 8 for appeal procedures.) | COMMANDER'S SIGNATURE  INSPECTOR'S SIGNATURE | DATE /          |
|--|--|-----------------|
|  | OMMCO,                                       | 6/18/09<br>DATE |
| Reviewer discussed this report with employee   | REVIEWER'S GNATURE                           | 6/23/09         |
| Concur Do not concur   | y y ov                                       | 1 0/ 00/-1      |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command:                 | Division: | Number: |  |
|--------------------------|-----------|---------|--|
| Inland Comm              | Inland    | 18      |  |
| Evaluated by:            | Date:     | -       |  |
| PSDSII Ta Lisa Rodriguez |           | 5/5/09  |  |
| Assisted by:             | Date:     |         |  |
| OT Suzie Shaffer         |           | 5/5/09  |  |

Page

1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION   |  |         |                |          |   |
|--|--|---------|----------------|----------|---|
| Division Laure   | <b>□</b>   | Lead In | spector's Sign | ature:   | 2   |
| Division Level   | oxtimes Command Level                            |         |                |          | 111   |
| Executive Office Level   | ☐ Voluntary Self-Inspection                      | on \    | (X)            | MX       | 1 ×   |
| Follow-up Required:  | Follow-up Inspection                             | Comma   | nder's Signatu | ırę:     | Date:   |
| Yes No   |  |         | 11 /1          | H_       | 5.6.09  |
| For applicable policy, refer to  |  | C       | )              | <i>V</i> | 2001  |
| to circumvent the \$4,999  |  | r Yes   | ⊠ No           | □ N/A    | Remarks:  |
| Does all X Number file d     STD. 204 Payee Data R   | ecord?   | ⊠ Yes   | □No            | □ N/A    | Remarks:  |
| landscaping) have prior a Services Section comma   |  | ☐ Yes   | □No            | ⊠ N/A    | Remarks:<br>ICC does not process X Numbers<br>requiring a contract. |
| 4. Are X Number requests r   | made prior to the date the                       |         |                | -        |   |
| services are performed?  |  |         | ☐ No           | □ N/A    | Remarks:  |
| 5. Are X Numbers issued fo   |  |         |                |          |   |
| Are prohibited services per  |  | ⊠ Yes   | ☐ No           | □ N/A    | Remarks:  |
| Number?  |  | ☐ Yes   | ⊠ No           | □ N/A    | Remarks:  |
| Are X Numbers used for the service and not the purchase.   | ase of a commodity?                              | ⊠ Yes   | □No            | □ N/A    | Remarks:  |
| 8 Are X Numbers issued for<br>related services pre-appro<br>Telecommunications Secti   | ved by<br>ion?                                   | ⊠ Yes   | □ No           | □ N/A    | Remarks:  |
| 9. Do X Numbers used for fac<br>(such as roof repair, electr<br>have prior approval from F  10. Do X Numbers in the control of the | ical) costing over \$1,000<br>acilities Section? | ⊠ Yes   | □No            | □ N/A    | Remarks:  |
| 10. Do X Numbers issued for la<br>agreements have prior app<br>Assistant Commissioner?   | apsed contractual roval by the appropriate       | ☐ Yes   | □No            | ⊠ N/A    | Remarks:<br>ICC does not process X Numbers<br>requiring a contract  |

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| 11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ⊠ Yes | □No  | □ N/A | Remarks: |
|---|-------|------|-------|----------|
| 12. Do all X Numbers awarded to a small business<br>vendor contain the small business certification from<br>the Department of General Services (DGS)? | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 13. Does the file documentation contain the STD. 21<br>Drug Free workplace certification for X Number<br>vendors?                                     | ⊠ Yes | □No  | □ N/A | Remarks  |
| Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 15. Is the itemized invoice for each X Number service maintained in the command's files?  | ⊠ Yes | □No  | □ N/A | Remarks: |

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

Page 1 of 3

| Command:                 | Division: | Chapter: |  |
|--------------------------|-----------|----------|--|
| Inland Comm              | Inland    | 3        |  |
| Inspected by:            |           | Date:    |  |
| PSDSII Ta Lisa Rodriguez |           | 5/5/09   |  |

| INSTRUCTIONS: This document shall be number of the inspection in the Chapter shall be routed to and its due date. This improvement, identified deficiencies, cor | Inspection docume | on number. Under "Forw<br>ent shall be utilized to doc | ard to:" enter the nex<br>ument innovative pr | Il in the blanks as indicated. Enter the chapter of command where the document actices, suggestions for statewide aused if additional space is required. |  |  |
|--|-------------------|--|---|--|--|--|
|  |                   | Total hours expended on the inspection:                |   | ☐ Corrective Action Plan Included ☐ Attachments Included   |  |  |
| Follow-up Required:  | Forwa             | rd to:   |   |  |  |  |
| ☐ Yes  | Due D             | ate:   | 9   |  |  |  |
| Chapter Inspection: Inspector's Comments Regar   | ding Ir           | anavativa Practicos                                    |   |  |  |  |
| None   | uirig ii          | movative Fractices                                     |   |  |  |  |
| Command Suggestions for St   | atewic            | le Improvement:  |   |  |  |  |
| None   |                   |  |   |  |  |  |
| Inspector's Findings:  |                   |  |   |  |  |  |
| Area is in compliance with Program.  | n depa            | rtmental policies a                                    | nd procedures                                 | outlined for the X-Number  |  |  |
| Commander's Response:  ☐ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)   |                   |  |   |  |  |  |
|  |                   |  |   |  |  |  |

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

## **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Page 2 of 3

| Command:                               | Division: | Chapter:     |  |
|--|-----------|--------------|--|
| Inland Comm                            | Inland    | 3            |  |
| Inspected by: PSDSII Ta Lisa Rodriguez |           | Date: 5/5/09 |  |
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## **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Page 3 of 3

| Command:                 | Division: | Chapter:     |  |
|--------------------------|-----------|--------------|--|
| Inland Comm              | Inland    | 3            |  |
| Inspected by:            |           | Date: 5/5/09 |  |
| PSDSII Ta Lisa Rodriguez |           | 5/5/09       |  |
|                          |           |              |  |

| Barrier and the second          |  |
|---------------------------------|--|
| Required Action                 |  |
|                                 |  |
| Corrective Action Plan/Timeline |  |

| Employee would like to discuss this report with the reviewer.  (See HPM 9.1, Chapter 8 for appeal procedures.) | COMMANDER'S SIGNATURE | 6-18-09 |
|--|-----------------------|---------|
|  | INSPECTOR'S SIGNATURE | 6/18/09 |
| Reviewer discussed this report with employee Concur Do not concur  | REVIEWER'S STONATURE  | 6/23/09 |
|  | 79                    | 77      |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command. Inland Comm                      | Division Inland | Number       |  |
|---|-----------------|--------------|--|
| Evaluated by:<br>PSDSII Ta Lisa Rodriguez |                 | Date: 5/5/09 |  |
| Assisted by: OT Suzie Shaffer             |                 | Date: 5/5/09 |  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION  |  | Lead Ins | pector's Signa | iture:   |  |
|---|--|----------|----------------|----------|--|
| ☐ Division Level ☐ Executive Office Level   | ☑ Command Level<br>☑ Voluntary Self-Inspection               |          | TX             | M        | Class.   |
| Follow-up Required:   | Follow-up Inspection   | Comman   | der's Signatur | re:      | 5 · 6 · 04   |
| For applicable policy, refer to:  | HPM 11.1, Chapter 22   | t        | <i>.</i> .     | <i>a</i> |  |
| the estimated dollar value  | re repetitive, regardless of<br>?                            | ☐ Yes    | □ No           | ⊠ N/A    | Remarks: ICC does not process Command Procurement Contracts. |
| <ol> <li>Is a CHP 78 Contract Re<br/>services exceeding \$4,99</li> </ol>   |  | ☐ Yes    | □No            | ⊠ N/A    | Remarks:   |
| <ol> <li>Is the Office of Primary In<br/>numbering beginning with<br/>three-digit location code u<br/>contract payable listed on</li> </ol>               | the requesting command sed, followed by "CP" for the CHP 78? | ☐ Yes    | □ No           | ⊠ N/A    | Remarks:   |
| 4. Is the performance of cont and documented?   | ract services monitored                                      | Yes      | □No            | ⊠ N/A    | Remarks:   |
| 5. Are all copies of correspor maintained?  | dence with the vendor  | ☐ Yes    | ☐ No           | ⊠ N/A    | Remarks:   |
| <ol> <li>Are letters for contracts do<br/>which outline any problems<br/>non-performance of the ve</li> </ol>   | s related to substandard or ndor?                            | ☐ Yes    | □ No           | ⊠ N/A    | Remarks:   |
| <ol> <li>Is the final product to be de<br/>specifically and in as much<br/>CHP 78?</li> </ol>   | detail as possible in the                                    | ☐ Yes    | □No            | ⊠ N/A    | Remarks  |
| <ol> <li>Are all required levels of ap<br/>including the required docu<br/>for expedite and emergency<br/>Chapter 22, before forwards<br/>78A?</li> </ol> | mentation and approvals // contracts per HPM 11.1,           | Yes      | ∏ No           | ⊠ N/A    | Remarks:   |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 9. Are requests for contract services less than six  |        |      |       |          |
|--|--------|------|-------|----------|
| 9. Are requests for contract services less than six<br>months from the anticipated start date of the contract<br>pre-approved by Assistant Commissioner, Staff, for<br>expedited processing?   | ct Yes | □ No | ⊠ N/A | Remarks. |
| Is all work completed and accepted by the Department before expiration of contract agreement   | ? Yes  | □No  | ⊠ N/A | Remarks: |
| 11. Are contract services performed according to the<br>quality, quantity, objectives, timeframes, and in the<br>manner specified in the contract (e.g., review<br>progress reports and interim products)?   | Yes    | □ No | ⊠ N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to<br>substantiate expenditures for work performed and to<br>prevent penalties being assessed?  | ☐ Yes  | □ No | ⊠ N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?  | ☐ Yes  | □ No | ⊠ N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled<br>all requirements of the contract before approving the<br>final invoice?  | ☐ Yes  | □No  | ⊠ N/A | Remarks  |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ☐ Yes  | □ No | ⊠ N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed?  | ☐ Yes  | □No  | ⊠ N/A | Remarks: |
| 17. Do emergency contracts document and justify a<br>sudden, unexpected occurrence that poses a clear<br>and imminent danger, requiring immediate action to<br>mitigate the loss or impairment of life, health,<br>property, or essential public services? | ☐ Yes  | □ No | ⊠ N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ☐ Yes  | □No  | ⊠ N/A | Remarks  |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ☐ Yes  | □No  | ⊠ N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%?   | ☐ Yes  | □No  | ⊠ N/A | Remarks  |

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 21. Is the length of the contract amendment request more than one year?   | ☐ Yes | □No  | ⊠ N/A | Remarks:             |
|---|-------|------|-------|----------------------|
| 22. Are amendments requested before the expiration of the original contract?  | ☐ Yes | □No  | ⊠ N/A | Remarks:             |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?   | ☐ Yes | □No  | ⊠ N/A | Remarks:             |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?   | ☐ Yes | □No  | ⊠ N/A | Remarks:             |
| 25. Are California Department of Justice (DOJ) and<br>Federal Bureau of Investigation (FBI) fingerprint<br>checks and driver license checks conducted for all of<br>the following types of agreements:  | ☐ Yes | □ No | ⊠ N/A | Remarks:             |
| <ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>   |       |      |       |                      |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:   | ☐ Yes | □ No | ⊠ N/A | Remarks <sup>*</sup> |
| (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair |       | 5    |       |                      |

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
|---|-------|------|-------|----------|
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation<br>maintained for three years after the final payment of<br>the contract?   | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities<br>related to the contract?   | ☐ Yes | □No  | ⊠ N/A | Remarks  |
| 31. Is a computer file prepared for all contracts administered?   | ☐ Yes | □ No | ⊠ N/A | Remarks  |
| 32. Is a spreadsheet prepared listing all expenditures?   | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 33. Is the notification to the contractor documented for<br>the start date for services to begin?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 34 Is the contractor contacted to determine if all invoices<br>have been received in order to oversee the<br>completion of the contract?  | Yes   | □No  | ⊠ N/A | Remarks  |
| 35. Do consultant services contracts of \$1,000 or more<br>contain detailed performance criteria and a schedule<br>for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ☐ Yes | □No  | ⊠ N/A | Remarks  |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ☐ Yes | □ No | ⊠ N/A | Remarks  |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)   | Yes   | □No  | ⊠ N/A | Remarks: |

#### COMMAND INSPECTION PROGRAM

| EXCEPTIONS DOCUMENT |  |
|---------------------|--|
|---------------------|--|

| Pag | e | 1 | of | 2 |
|-----|---|---|----|---|
|     |   |   |    |   |

| Command:                 | Division: | Chapter:       |  |
|--------------------------|-----------|----------------|--|
| Inland Comm              | Inland    | 3              |  |
| Inspected by:            |           | Date<br>5/5/09 |  |
| PSDSII Ta Lisa Rodriguez |           | 5/5/09         |  |
|                          |           |                |  |

| INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter  |
|--|
| number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required. |
| TYPE OF INSPECTION  Division Level Command Level  Executive Office Level  Total hours expended on the inspection:  1  Attachments Included   |
| Follow-up Required:  ☐ Yes  No  Due Date:  Chapter Inspection:   |
| Inspector's Comments Regarding Innovative Practices: None  |
| Command Suggestions for Statewide Improvement: None  |
| Inspector's Findings: ICC does not process Command Procurements Contracts.   |
| Commander's Response: ⊠ Concur or □ Do Not Concur (Do Not Concur shall document basis for response)  |
| Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)  |

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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| Command:       | Division: | Chapter: |  |
|----------------|-----------|----------|--|
| Inland Comm    | Inland    | 3        |  |
| Inspected by:  |           | Date:    |  |
| PSDSII Ta Lisa | Rodriguez | 5/5/09   |  |
|                |           |          |  |

| Required Action   |  |
|---|--|
| galan, ali zudeskim ikunom in bakaran kentin di atawa kan |  |
| Corrective Action Plan/Timeline                           |  |
|   |  |

| Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.) | COMMANDER'S SIGNATURE | 6.18.09         |
|---|-----------------------|-----------------|
| (COCTIL IN CITY CHAPTER OF CITY SPEEDS  | INSPECTOR'S SIGNATURE | 6/18/09<br>DATE |
| Reviewer discussed this report with employee Concur  Do not concur  | REVIEWER'S SIGNATURE  | 6/23/09         |
| Concur Do not concur  | 1 gen                 | 14/             |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command:<br>Special Services        | Division: Inland | Number: 805              |
|-------------------------------------|------------------|--------------------------|
| Evaluated by:<br>Lt. Oscar Medellin |                  | Date:<br>January 8, 2009 |
| Assisted by:                        |                  | Date:                    |

Page

1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE C   | F INSPECTION                                      |                                   | 12        |                |          |           |         |
|----------|---|-----------------------------------|-----------|----------------|----------|-----------|---------|
| l        |   | _                                 | Lead Insp | ector's Signat | ture:    |           |         |
| ∐ Div    | ision Level                                       | ⊠ Command Level                   |           |                |          |           |         |
|          | ecutive Office Level                              | □ Valorata a Octobra              | 14        | 11/2-1         | 100      |           |         |
|          |   | ☐ Voluntary Self-Inspection       |           | YPRAL          | len      | 2         |         |
| Fo       | llow-up Required:                                 | Follow-up Inspection              | Command   | er's Signature | 9:       | 0 -       | Date:   |
|          | ] Yes 🔲 No  |                                   | 1 XIV     | 1 Km           |          | CAST      | 1/12/09 |
|          |   |                                   | 1/1       |                |          |           |         |
| For ap   | oplicable policy, refer to                        | o: HPM 11.1, Chapter 23           | ( )       |                |          |           |         |
| <b>-</b> | A 101 1 37 N                                      |                                   |           |                |          |           |         |
| 1.       | Are multiple X Numbers                            | s awarded to the same vendor      |           |                |          | Damada    |         |
|          | to circumvent the \$4,99                          | 9 contract limit?                 | ☐ Yes     | ⊠ No           | │ □ N/A  | Remarks:  |         |
| 2.       | Does all X Number file                            | documentation contain the         |           |                |          |           |         |
|          | STD. 204 Payee Data F                             |                                   | ⊠ Yes     | □No            | □ N/A    | Remarks:  |         |
|          |   |                                   |           |                |          |           |         |
| 3.       | Do X Numbers requiring                            | g a contract (i.e., janitorial or |           |                |          |           |         |
|          | landscaping) have prior                           | approval from the Business        |           | ☐ No           | □ N/A    | Remarks:  |         |
|          | Services Section comm                             | ander?                            |           |                |          |           |         |
| 4.       | Are X Number requests                             | made prior to the date the        |           | -              |          |           |         |
|          | services are performed                            | ?                                 | ⊠ Yes     | □No            | □ N/A    | Remarks:  |         |
|          | <u> </u>  |                                   | Z 103     |                |          |           |         |
| 5.       | Are X Numbers issued:                             | for a one-time use?               |           |                |          |           |         |
|          | A   |                                   |           | ☐ No           | □ N/A    | Remarks:  |         |
| 6.       | Are prohibited services Number?                   | performed using an X              |           |                |          | Remarks:  |         |
|          | Number:   | 25                                | ☐ Yes     | ⊠ No           | □ N/A    | IXemarks, |         |
| 7.       | Are X Numbers used fo                             | r the procurement of a            |           |                |          |           |         |
|          | service and not the pure                          |                                   | ⊠ Yes     | □No            | □ N/A    | Remarks:  |         |
|          |   |                                   |           |                |          |           |         |
| 8.       | Are X Numbers issued t                            |                                   |           |                |          | _         |         |
|          | related services pre-app<br>Telecommunications Se |                                   |           | ☐ No           | □ N/A    | Remarks:  |         |
|          | relecommunications 56                             | ection?                           |           |                |          |           |         |
| 9.       | Do X Numbers used for                             | facilities related services       |           |                |          |           |         |
|          | (such as roof repair, ele                         | ctrical) costing over \$1,000     | ⊠ Yes     | □No            | □ N/A    | Remarks:  |         |
|          | have prior approval from                          | Facilities Section?               | =         |                |          |           |         |
| 40       | De V Nouste 1 16                                  |                                   |           |                |          |           |         |
| 10.      | Do X Numbers issued for                           |                                   |           |                | <b>—</b> | Remarks:  |         |
|          | Assistant Commissioner                            | approval by the appropriate       | ☐ Yes     | ☐ No           | ⊠ N/A    | ixemarks: |         |
|          |   |                                   |           |                |          |           |         |
|          |   |                                   |           |                |          |           |         |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

|   |       |      |       | 411      |
|---|-------|------|-------|----------|
| 11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ⊠ Yes | □ No | □ N/A | Remarks: |
| 12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)? | ⊠ Yes | □No  | □ N/A | Remarks: |
| 13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?                                     | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 14. Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 15. Is the itemized invoice for each X Number service maintained in the command's files?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Special Services | Division:<br>Inland | Chapter: 3      |
|------------------------------|---------------------|-----------------|
| Inspected by:                |                     | Date:           |
| Lieutenant Oscar Medellin    |                     | January 8, 2009 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| TYPE OF INSPECTION           |                                | Corrective Action Plan Included |                        |
|------------------------------|--------------------------------|---------------------------------|------------------------|
| ☐ Division Level ☐ Command L | _evel                          | ☐ Appeal Included               |                        |
| ☐ Executive Office Level     |                                | Attachments Included            |                        |
| Follow-up Required:          | Forward to:<br>Inland Division | Commander's Signature:          | Date:                  |
|                              | Iniana Division                | Can I Orac                      | 1/12/09                |
| ☐ Yes       No               | Due Date: 12/31/2008           | THE SUMMER                      | 11. 10 (               |
| Chapter Inspection: 3, X-Nun | nber Program                   |                                 |                        |
| Inspector's Comments Regar   | rding Innovative Practice      | es:                             | 14 Julius - 4 45 A 284 |
|                              |                                |                                 |                        |
| None                         |                                |                                 |                        |
| None                         |                                |                                 |                        |
|                              |                                |                                 |                        |
|                              |                                |                                 |                        |
|                              |                                |                                 |                        |
| Command Suggestions for S    | tatewide Improvement:          |                                 |                        |
|                              |                                |                                 |                        |
|                              |                                |                                 |                        |
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|                              |                                |                                 |                        |

A random sampling of X-number service requests by Inland Division Special Services was conducted. All service requests were issued for a one-time service, were competitively bid and contained the appropriate documentation. Non-emergency services conducted by the vendor were not performed prior to the X number service request start dates.

Inspector's Findings:

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:<br>Special Services | Division:<br>Inland | Chapter: 3      |
|------------------------------|---------------------|-----------------|
| Inspected by:                |                     | Date:           |
| Lieutenant Oscar Medellin    |                     | January 6, 2009 |

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| Commander's Response: |    |  |
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| Inspector's Comments: |    |  |
| 77                    |    |  |
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Required Action

Corrective Action Plan/Timeline

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

| Command:      | Division: | Chapter: |  |
|---------------|-----------|----------|--|
| Inspected by: | 1         | Date:    |  |

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| Page 3  |  |
|---|--|
| Appeal Process: (Appeals shall be filed within five (5) busin   | ess days of the completed chapter inspection). |
| Commander's Basis for Appeal:                                   |  |
| <b>A. 4.</b>  |  |
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| Appeal Review/Decision: (This shall be the only level of appeal | ppeal).  |
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| Lead Inspector's Signature:                                     | Date: 1/12/09                                  |
| Responding Commander's Signature (for appeal):                  | Date:  |
|   |  |

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command:           | Division: Inland | Number: 805     |
|--------------------|------------------|-----------------|
| Special Services   |                  |                 |
| Evaluated by:      |                  | Date:           |
| Lt. Oscar Medellin |                  | January 9, 2009 |
| Assisted by:       |                  | Date:           |
|                    |                  |                 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Command Level ☐ Division Level ☐ Voluntary Self-Inspection ☐ Executive Office Level Commander's Signature: Follow-up Inspection Follow-up Required: 1/12/09 \_ | Yes ⊠ No For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: X Yes ☐ No □ N/A service contracts which are repetitive, regardless of the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: ☐ No □ N/A X Yes services exceeding \$4,999.99? Is the Office of Primary Interest (OPI) tracking Remarks: N/A □ No numbering beginning with the requesting command ☐ Yes three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: □ N/A Yes ∏No and documented? 5. Are all copies of correspondence with the vendor Remarks: □ No □ N/A maintained? Are letters for contracts documented and maintained Remarks: □ N/A which outline any problems related to substandard or ☐ No non-performance of the vendor? Is the final product to be delivered described Remarks: □ N/A X Yes □ No specifically and in as much detail as possible in the CHP 78? Are all required levels of approval/signature obtained, Remarks: ⊠ N/A ☐ Yes ☐ No including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP

78A?

#### **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

| 9.  | Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
|-----|--|-------|------|-------|----------|
|     | . Is all work completed and accepted by the Department before expiration of contract agreement?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 11  | Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?  | ⊠ Yes | □ No | □ N/A | Remarks: |
| 12  | Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 13. | Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?   | ⊠ Yes | □No  | □ N/A | Remarks: |
|     | Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?  | ⊠ Yes | □No  | □ N/A | Remarks: |
|     | Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ⊠ Yes | □No  | □ N/A | Remarks: |
|     | Are all applicable form sections of the CHP 78 completed?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
|     | Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ⊠ Yes | □No  | □ N/A | Remarks: |
|     | Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ⊠ Yes | □No  | □ N/A | Remarks: |
|     | Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ⊠ Yes | □No  | □ N/A | Remarks: |
| 20. | 'Are contract amendment request dollar amounts increased more than 30%?  | ☐Yes  | ⊠ No | □ N/A | Remarks: |
|     |  |       |      |       |          |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

|                 | s the length of the contract amendment request nore than one year?   | ☐ Yes | ⊠ No | □ N/A | Remarks: |
|-----------------|--|-------|------|-------|----------|
| th              | re amendments requested before the expiration of ne original contract?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| in<br>ro        | s a service contract on a CHP 78, Contract Request nitiated for any commercial meeting/conference com rental which is expected to exceed \$4,999.99 in otal cost?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| pe              | o conference room rental costs exceeding the \$500 er day limit have pre-approval from Assistant commissioner, Staff?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| Fe<br><u>ct</u> | re California Department of Justice (DOJ) and ederal Bureau of Investigation (FBI) fingerprint hecks and driver license checks conducted for all of the following types of agreements:   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| ¥               | <ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>  |       |      |       |          |
| lin<br>th       | s a <u>driver license check</u> conducted for, but not mited to, all of the following types of agreements, if ne contractor and/or specifically assigned personnel re scheduled to be on-site for more than 30 days:   | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 34              | <ol> <li>(1) Alarm and Fire Alarm Monitoring</li> <li>(2) Camera Maintenance and Repair</li> <li>(3) Carpet Installation</li> <li>(4) Diesel Generator Maintenance and Repair</li> <li>(5) Dishwasher Maintenance and Repair</li> <li>(6) Elevator Maintenance and Repair</li> <li>(7) Fire Extinguisher Service</li> <li>(8) Garage Door Maintenance and Repair</li> <li>(9) Graphic Arts Equipment Maintenance and Repair</li> <li>(10) Heating, Ventilation, and Air Conditioning Service</li> <li>(11) Laundry/Linen Service</li> <li>(12) Office Machine Maintenance and Repair</li> <li>(13) Painting Services (interior of facility)</li> <li>(14) Plumbing Services</li> <li>(15) Scale Maintenance and Repair</li> <li>(16) Steam Cleaning Services (Carpet, not scales)</li> <li>(17) Telephone Services (cellular, satellite, and regular)</li> <li>(18) Television Equipment Maintenance and Repair</li> <li>(19) Uninterruptible Power Supply Maintenance and Repair</li> </ol> |       |      |       |          |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

| 27  | Are all driver license and fingerprint information<br>forwarded to Contract Services Unit (CSU), along<br>with the contract number for retention after<br>Commander review?   | ⊠ Yes | □No  | □ N/A | Remarks: |
|-----|---|-------|------|-------|----------|
| 28  | . Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ☐ Yes | □No  | ⊠ N/A | Remarks: |
|     | Are all invoices, records, and relevant documentation<br>maintained for three years after the final payment of<br>the contract?   | ⊠ Yes | □No  | □ N/A | Remarks: |
|     | . Is a log sheet maintained for a diary of activities related to the contract?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 31  | . Is a computer file prepared for all contracts<br>administered?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 32  | . Is a spreadsheet prepared listing all expenditures?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 33  | . Is the notification to the contractor documented for the start date for services to begin?  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 34  | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
|     | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
|     | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 37. | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 38. | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ☐ Yes | □ No | ⊠ N/A | Remarks: |
| 39. | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)   | ☐ Yes | □No  | ⊠ N/A | Remarks: |

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Special Services        | Division:<br>Inland | Chapter: 3               |
|-------------------------------------|---------------------|--------------------------|
| Inspected by:<br>Lieutenant Oscar M | ledellin            | Date:<br>January 9, 2009 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| TYPE OF INSPECTION                 |  | ☐ Corrective Action Plan Included |  |  |
|------------------------------------|--|-----------------------------------|--|--|
| ☐ Division Level   ☐ Command Level |  | Appeal Included                   |  |  |
| ☐ Executive Office Level           |  | Attachments Included              |  |  |
| Follow-up Required:                | Forward to:<br>Inland Division<br>Due Date: 12/31/2008 | Commander's Signature:  Date:     |  |  |
| Chapter Inspection: 3, Contra      | acts   | 。<br>第一次                          |  |  |
| Inspector's Comments Regar         | ding Innovative Practi                                 | ces:\/                            |  |  |
| None                               |  |                                   |  |  |
| Command Suggestions for St         | tatewide Improvement                                   | ::<br>::                          |  |  |
|                                    | ·  |                                   |  |  |

A total of 10 existing contracts were reviewed and found to be in compliance. The contract manager was well versed with the contractor's performance requirements and scope of the contract.

Inspector's Findings:

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Pag | e | 2 |
|-----|---|---|
|     |   |   |

| Command:<br>Special Services | Division:<br>Inland | Chapter: 3      |
|------------------------------|---------------------|-----------------|
| Inspected by:                |                     | Date:           |
| Lieutenant Oscar Medellin    |                     | January 6, 2009 |

| Commander's Response:  |  |
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| Inspector's Comments:  |  |
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| Required Action  |  |
| Corrective Action Plan/Timeline  |  |

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

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| Command:      | Division: | Chapter: |  |
|---------------|-----------|----------|--|
| Inspected by: |           | Date:    |  |

| Appeal Process: (Appeals shall be filed within five (5) business days of | the completed chapter inspection). |
|--|------------------------------------|
| Commander's Basis for Appeal:  |                                    |
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| Appeal Review/Decision: (This shall be the only level of appeal).        |                                    |
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|  |                                    |
| Lead (inspector's Signature:   | Date:                              |
| Responding Commander's Signature (for appeal):                           | 1/8/09                             |
| Responding Commander's Signature (for appear).                           | Date:                              |

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command:<br>Special Services        | Division: Inland | Number: 805              |
|-------------------------------------|------------------|--------------------------|
| Evaluated by:<br>Lt. Oscar Medellin |                  | Date:<br>January 7, 2009 |
| Assisted by:                        |                  | Date:                    |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE     | FINANCIAL  |            |                 |       |          |         |
|----------|--|------------|-----------------|-------|----------|---------|
| I TARE O | FINSPECTION  | Lead Inspe | ector's Signatu | ıre:  |          |         |
| ☐ Div    | ision Level  | 4          | 2) 1            | 200   |          |         |
| ☐ Exe    | ecutive Office Level   | (1)        | plath           | lle   | n        | *       |
| Fo       | ollow-up Required:   |            | ers Signature   | : 0   |          | Date:   |
|          | Yes 🖄 No   | 1 Sul      | 1 Kin           | _ (   | APT      | 1/12/09 |
|          | oplicable policy, refer to: HPM 11.2, Chapter 3  |            |                 |       |          |         |
|          | Are all employees associated with the use of the Cal-<br>Card program completing the CHP 78S, Conflict of<br>Interest Statement, Employee, form?   | ⊠ Yes      | ☐ No            | □ N/A | Remarks: |         |
| 2.       | Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?                               | ☐ Yes      | □No             | ⊠ N/A | Remarks: |         |
| 3.       | Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?   | Yes        | □No             | ⊠ N/A | Remarks: |         |
| 4.       | Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?  | ☐ Yes      | □No             | ⊠ N/A | Remarks: |         |
| 5.       | If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file? | ☐ Yes      | □No             | ⊠ N/A | Remarks: |         |
| 6.       | When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?   | ☐ Yes      | □No             | ⊠ N/A | Remarks: |         |
|          | Are purchases split into multiple transactions in order to circumvent transaction purchase limits?   | ☐ Yes      | ⊠ No            | □ N/A | Remarks: |         |
|          | Does the CHP 317 Cal Card Log fully describe the purchase?   | ⊠ Yes      | □No             | □ N/A | Remarks: |         |
| 9.       | Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?  | ⊠ Yes      | □No             | □ N/A | Remarks: |         |

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| and maintained?   | ⊠ Yes | ☐ No | □ N/A | Remarks: |
|---|-------|------|-------|----------|
| Are credit invoices/receipts for returned items maintained with the bank statement?   | ⊠ Yes | ☐ No | □ N/A | Remarks: |
| 12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement. | ⊠ Yes | □ No | □ N/A | Remarks: |
| 13. Are Cal Cards maintained in a secure area?  |       | □No  | □ N/A | Remarks: |
| 14. Are Cal Card purchases pre-approved by the commander?   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 15. Have all cardholders received training on the Department's procurement processes?   | ⊠ Yes | □No  | □ N/A | Remarks: |
| 16. Are item(s) purchased with the Cal Card prohibited by departmental policy?  | ⊠ Yes | □No  | □ N/A | Remarks: |

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Special Services        | Division:<br>Inland | Chapter: 3               |
|-------------------------------------|---------------------|--------------------------|
| Inspected by:<br>Lieutenant Oscar M | ledellin            | Date:<br>January 7, 2009 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level □ Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: Inland Division 1/12/09 ⊠ No ☐ Yes Due Date: 12/31/2008 Chapter Inspection: 3, Cal-Card Program Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement:

Inspector's Findings:

Among the five Special Services units and clerical staff, there are a total of 11 employees who have been issued Cal-Cards. Each cardholder maintains and submits a CHP 317, Cal-Card log to management describing the purpose for each purchase. Bank statements are reconciled with receipts and the Cal-Card log.

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:<br>Special Services | Division:<br>Inland | Chapter: 3      |
|------------------------------|---------------------|-----------------|
| Inspected by:                |                     | Date:           |
| Lieutenant Oscar N           | Medellin            | January 6, 2009 |

Page 2

| Commander's Response: |  |
|-----------------------|--|
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Inspector's Comments:

Cardholders are fully aware of the program's requirements, its intended purpose, and the importance of safeguarding the security of the Cal-Card.

Required Action

Corrective Action Plan/Timeline

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| P | a | 36 | , | 3 |
|---|---|----|---|---|
|   |   |    |   |   |

| Command:      | Division: | Chapter: |  |
|---------------|-----------|----------|--|
| Inspected by: |           | Date:    |  |

| Appeal Process: (Appeals shall be filed within five (5) business days of | the completed chapter inspection). |
|--|------------------------------------|
| Commander's Basis for Appeal:  |                                    |
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|  | 75%                                |
| Appeal Review/Decision: (This shall be the only level of appeal).        |                                    |
| rippedi Neview Beeleien. (The sharpe die emy lever et appear).           |                                    |
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| Lead Inspector's Signature:  | Date:                              |
| Responding Commander's Signature (for appeal):                           | Date: 1/6/09                       |
| responding sommander of orginature (for appeal).                         | Date.                              |
|  |                                    |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

| Command:<br>Special Services        | Division:<br>Inland | Number: 805              |
|-------------------------------------|---------------------|--------------------------|
| Evaluated by:<br>Lt. Oscar Medellin |                     | Date:<br>January 7, 2009 |
| Assisted by:                        |                     | Date:                    |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPECTION   |  | Lead Inspe | ctor's Signatu | ıre:  |              |
|--|--|------------|----------------|-------|--------------|
| ☐ Division Level   | □ Command Level  | 6          |                |       | 8            |
| ☐ Executive Office Level   | ☐ Voluntary Self-Inspection                                      | (N         | Rdl            | Ele   | <u>`</u>     |
| Follow-up Required:  Yes No  | ☐ Follow-up Inspection   | Commande   | er's Sigmature | re_   | CART 1/12/09 |
| For applicable policy, refer t   | o: HPM 11.2, Chapter 7   |            | 7.             |       |              |
|  | procurement process at the r with the related policies and sing? | ⊠ Yes      | □No            | □ N/A | Remarks:     |
| Have Approvers/review procurement training?                                  | wers of purchases received                                       | ⊠ Yes      | ☐ No           | □ N/A | Remarks:     |
| Are prohibited items properties. Requisitions?                               | rocured on CHP 43, Purchases                                     | ☐ Yes      | ⊠ No           | □ N/A | Remarks:     |
| <ul><li>Commodities t</li><li>Confirming ord</li><li>Purchases via</li></ul> | the internet   |            |                | 8     |              |
| different suppliers or fr<br>commodity contracts?                            | y items obtainable from om different statewide                   | ⊠ Yes      | □ No           | □ N/A | Remarks:     |
| Purchase Requisition?  |  | ⊠ Yes      | □No            | □ N/A | Remarks:     |
| consecutively, starting fiscal year (July 1)?                                | nase Requisitions, numbered anew at the beginning of each        | ☐ Yes      | ☐ No           | ⊠ N/A | Remarks;     |
|  | s for the purchase of goods<br>tant Commissioner, Staff, for     | ☐ Yes      | ☐ No           | ⊠ N/A | Remarks:     |

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 8.  | Do specialized items purchased contain the appropriate Division, and/or OPI approvals?  | ⊠ Yes | □No  | □ N/A            | Remarks: |
|-----|---|-------|------|------------------|----------|
| 9.  | Are the CHP 43, Purchase Requisitions, competitively bid?   | ☐ Yes | □No  | ⊠ N/A            | Remarks: |
| 10. | Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?   | ☐ Yes | □No  | ⊠ N/A            | Remarks: |
| 11. | Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?   | ☐ Yes | □ No | ⊠ N/A            | Remarks: |
|     | Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?  | ☐ Yes | □No  | ⊠ N/A            | Remarks: |
|     | Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  | ☐ Yes | □No  | ⊠ N/A            | Remarks: |
| 14. | Are items checked immediately for content and damage when delivered?  | ⊠ Yes | □No  | □ N/A            | Remarks: |
| 15. | Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted? | ⊠ Yes | □No  | □ N/A            | Remarks: |
|     | Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?   | ⊠ Yes | □No  | □ N/A            | Remarks: |
|     | Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?   | ☐ Yes | □No  | <sup>∞</sup> N/A | Remarks: |
|     | Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  | ⊠ Yes | □No  | □ N/A            | Remarks: |
| 19. | Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?  | ⊠ Yes | □No  | □ N/A            | Remarks: |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared? | ☐ Yes | □No  | ⊠ N/A | Remarks: |
|--|-------|------|-------|----------|
| 21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)   | ☐ Yes | ☐ No | ⊠ N/A | Remarks: |
| 22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)   | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)  | ☐ Yes | □No  | ⊠ N/A | Remarks: |
| 24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)   | ☐ Yes | ⊠ No | □ N/A | Remarks: |

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:<br>Special Services        | Division:<br>Inland | Chapter: 3               |
|-------------------------------------|---------------------|--------------------------|
| Inspected by:<br>Lieutenant Oscar I | Medellin            | Date:<br>January 7, 2009 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required. |                                |                            |                     |         |
|-------------------------------|--------------------------------|----------------------------|---------------------|---------|
| TYPE OF INSPECTION            |                                | ☐ Corrective Action Plan I | ncluded             |         |
| ☐ Division Level ☐ Command    | Level                          | Appeal Included            |                     |         |
| ☐ Executive Office Level      |                                | Attachments Included       |                     |         |
| Follow-up Required:           | Forward to:<br>Inland Division | Commander's/Signature:     | 0                   | Date:   |
| ☐ Yes                         | Due Date: 12/31/2008           | Xol Km                     | CAST                | 1-12-09 |
| Chapter Inspection: 3, Purch  | ases                           | /= \                       | (Sille in a said (A | A STATE |
| Inspector's Comments Rega     | rding Innovative Practice      | es:                        |                     |         |
|                               |                                |                            |                     |         |
| None                          |                                |                            |                     |         |
|                               |                                |                            |                     |         |
|                               |                                |                            |                     |         |
|                               |                                |                            |                     |         |
| Command Suggestions for S     | tatewide Improvement:          |                            |                     |         |
|                               |                                | •                          |                     |         |
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Each of the five individual units within Inland Division Special Services completes their respective Purchase Requisition (CHP 43) and submits them to the clerical support staff for numbering and processing. Damaged items delivered by common carrier or quantity discrepancies are acknowledged with the driver prior to being accepted.

Inspector's Findings:

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Special Services   | Inland   | Chapter: 3      |
|--------------------|----------|-----------------|
| Inspected by:      | ***      | Date:           |
| Lieutenant Oscar M | ledellin | January 6, 2009 |

Page 2

| Commander's Respon       | nse:   |  |
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| Inspector's Comments     | 3:   |  |
| Inland Division's cleric | al support staff oversees the overall procedure of procurement for Special |  |

Services and maintains the integrity by exposing any discrepancies during the purchasing process.

Required Action

Corrective Action Plan/Timeline

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:      | Division: | Chapter: |  |
|---------------|-----------|----------|--|
| Inspected by: |           | Date:    |  |

Page 3

| Appeal Process: (Appeals shall be filed within five (5) business days of the | e completed chapter inspection). |
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| Commander's Basis for Appeal:  |                                  |
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| Appeal Review/Decision: (This shall be the only level of appeal).            |                                  |
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|  |                                  |
| Lead Inspector's Signature:  | Date:                            |
| Medeler  | 1/6/09                           |
| Responding Commander's Signature (for appeal):                               | Date:                            |

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| Command:        | Division: | Number: |
|-----------------|-----------|---------|
| Inland Division | Inland    |         |
| Evaluated by:   | •         | Date:   |
| Sergeant Ron S  | eldon     | 1-6-09  |
| Assisted by:    |           | Date:   |
| Vonna Broughto  | n         | 1-6-09  |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF INSPE  | CTION                               |  | Lead Inspe | ctor's Signatu  | re:   |          |
|--|-------------------------------------|--|------------|-----------------|-------|----------|
| Division Le  | evel                                | Command Level  |            |                 | //    | - 18     |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection |                                     |  | Dellal     |                 |       |          |
| Follow-u   | p Required:                         | ☐ Follow-up Inspection   | Commande   | er's Signature: |       | Date: /  |
| For applicab   | le policy, refer t                  | o: HPM 11.2, Chapter 3   |            |                 |       |          |
| Card<br>Intere                                       | program complet<br>st Statement, Em |  | ⊠ Yes      | □No             | □ N/A | Remarks: |
| mainta   |                                     | e Workplace certifications<br>Cal Card command file for                  | ⊠ Yes      | □No             | □ N/A | Remarks: |
|  | Cal Card comma                      | ata Record forms maintained and file for each vendor                     | ⊠ Yes      | □ No            | □ N/A | Remarks: |
|  | 74 documents m                      | ed Waste Management Board<br>aintained for each vendor                   | ⊠ Yes      | □No             | □ N/A | Remarks: |
| is the   | certification letter                | business or DVBE is utilized, from the Department of tained in the file? | ⊠ Yes      | □No             | □ N/A | Remarks: |
|  | nable method do                     | ble is utilized, is the fair and cumented and properly                   | ⊠ Yes      | □No             | □ N/A | Remarks: |
|  |                                     | o multiple transactions in order on purchase limits?                     | ☐ Yes      | ⊠ No            | □ N/A | Remarks: |
| 8. Does purcha                                       |                                     | Card Log fully describe the  | ⊠ Yes      | □No             | □ N/A | Remarks: |
|  |                                     | econciled with the CHP 317 eceipts/invoices?                             | ⊠ Yes      | □No             | □ N/A | Remarks: |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

| 10. Is the CHP 317 Cal Card Log properly authorized and maintained?  | ⊠ Yes | □ No | □ N/A | Remarks:  |
|--|-------|------|-------|---|
| Are credit invoices/receipts for returned items maintained with the bank statement?  | ⊠ Yes | □ No | □ N/A | Remarks:  |
| 12. Do non-itemized purchase receipts/invoices<br>document the purchase by listing the commodity,<br>quantity, and unit price of the item(s) purchased on<br>the bank statement. | ☐ Yes | □ No | ⊠ N/A | Remarks: All purchase receipts are itemized and listed on the bank statement. |
| 13. Are Cal Cards maintained in a secure area?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 14. Are Cal Card purchases pre-approved by the commander?  | ☐ Yes | ⊠ No | □ N/A | Remarks:  |
| Have all cardholders received training on the Department's procurement processes?  | ⊠ Yes | □No  | □ N/A | Remarks:  |
| Are item(s) purchased with the Cal Card prohibited by departmental policy?   | ☐ Yes | ⊠ No | □ N/A | Remarks:  |

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:               | Division: | Chapter: |  |  |  |  |
|------------------------|-----------|----------|--|--|--|--|
| Inland Division Inland |           | Three    |  |  |  |  |
| Inspected by:          |           | Date:    |  |  |  |  |
| Sergeant Ron S         | 1-6-09    |          |  |  |  |  |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| TYPE OF INSPECTION               |                                | Corrective Action Plan Included |         |  |  |  |  |
|----------------------------------|--------------------------------|---------------------------------|---------|--|--|--|--|
| ☑ Division Level ☐ Command Level |                                | Appeal Included                 |         |  |  |  |  |
| ☐ Executive Office Level         |                                | ☐ Attachments Included          |         |  |  |  |  |
| Follow-up Required:              | Forward to:                    | Commander's Signature:          | Date:   |  |  |  |  |
| ☐ Yes       No                   | Due Date:                      | Bull                            | 1/14/09 |  |  |  |  |
| Chapter Inspection:              | various company                | <b>国际政策的企业的企业</b>               |         |  |  |  |  |
| Inspector's Comments             | s Regarding Innovative Practic | es:                             |         |  |  |  |  |
| N/A                              |                                |                                 |         |  |  |  |  |
|                                  |                                |                                 |         |  |  |  |  |
|                                  |                                |                                 |         |  |  |  |  |
| Command Suggestion               | ns for Statewide Improvement:  |                                 |         |  |  |  |  |
| N/A                              |                                |                                 |         |  |  |  |  |
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|                                  |                                |                                 |         |  |  |  |  |
|                                  |                                |                                 |         |  |  |  |  |
| Inspector's Findings:            |                                |                                 |         |  |  |  |  |

- 1. All purchases with the Cal Card are itemized on purchase receipts.
- 2. Many Cal Card purchases were not pre-approved by the Division Commander.

Commander's Response:

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 2

| Command:        | Division: | Chapter: |
|-----------------|-----------|----------|
| Inland Division | Inland    | Three    |
| Inspected by:   |           | Date:    |
| Sgt. Ron Seldor | 1-6-09    |          |

| Inspector's Comments:   |
|---|
| 1. Inland Division will obtain approval from the Commander prior to making purchases with the Cal Card. |
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|   |
| Required Action   |
| Corrective Action Plan/Timeline   |

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

| Command:        | Division: | Chapter:  |
|-----------------|-----------|-----------|
| INCOUD DIVISION | INUND     | 3         |
| Inspected by:   |           | Date: / / |
| R. SELDON # 1   | 4785      | 1/6/09    |

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|--|---|
| Appeal Process: (Appeals shall be filed within five (5) busing | nose days of the completed chanter inspection)  |
|  | ness days of the completed chapter inspections. |
| Commander's Basis for Appeal:                                  |   |
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| Appeal Review/Decision: (This shall be the only level of       | 0   |
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| Lead Inspector's Signature:                    | Date: 1/6/09 |
|--|--------------|
| Responding Commander's Signature (for appeal): | Date:        |
|  |              |

1 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| Command: Division: Inland Division Inland |                 | Number: |
|---|-----------------|---------|
| Evaluated by:<br>Sergeant Ron S           | Date:<br>1-7-09 |         |
| Assisted by:<br>Officer Larry O'Brien, Jo | Date: 1-7-09    |         |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF  | INSPECTION  |   | Lead Inspe | ctor's Signatu | ire:  |   |
|--|---|---|------------|----------------|-------|---|
| ☑ Division Level ☐ Command Level                     |   |   |            |                |       |   |
| ☐ Executive Office Level ☐ Voluntary Self-Inspection |   |   | 1000       |                |       |   |
| Foll   | low-up Required:<br>Yes ⊠ No                                      | ☐ Follow-up Inspection  | Commande   | er's Signature | 2     | Date: 1/14/09   |
| For app  | olicable policy, refer to   | o: HPM 11.1, Chapter 22   |            |                |       |   |
|  |   | lequest used to initiate all are repetitive, regardless of ue?  | ⊠ Yes      | □No            | □ N/A | Remarks:  |
| 2.   | Is a CHP 78 Contract F services exceeding \$4,                    | Request used for one-time<br>999.99?  | ⊠ Yes      | □ No           | □ N/A | Remarks: Completed by the recruitment unit.   |
|  |   | ith the requesting command used, followed by "CP" for   | ⊠ Yes      | □ No           | □ N/A | Remarks:  |
|  | Is the performance of co<br>and documented?                       | ontract services monitored  | ⊠ Yes      | ☐ No           | □ N/A | Remarks:  |
|  | Are all copies of correspondintained?                             | pondence with the vendor  | ⊠ Yes      | □ No           | □ N/A | Remarks:  |
| ,  |   | documented and maintained<br>ems related to substandard or<br>vendor?   | ☐ Yes      | ⊠ No           | □ N/A | Remarks: No formal letters are retained on file. The facilities section is notified of problems by the use of E-mail. |
|  | Is the final product to be<br>specifically and in as m<br>CHP 78? | e delivered described<br>uch detail as possible in the  | ⊠ Yes      | □ No           | □ N/A | Remarks:  |
| i<br>1   | including the required d<br>for expedite and emerge               | f approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, arding the CHP 78 or CHP | ⊠ Yes      | □ No           | □ N/A | Remarks:  |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 9.  | Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?   | ⊠ Yes | □ No | □ N/A | Remarks:   |
|-----|--|-------|------|-------|--|
| 10  | Is all work completed and accepted by the Department before expiration of contract agreement?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 11  | Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?  | ⊠ Yes | □ No | □ N/A | Remarks:   |
| 12. | Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?  | ⊠ Yes | □ No | □ N/A | Remarks:   |
| 13. | Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 14. | Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?  | ⊠ Yes | □ No | □ N/A | Remarks:   |
| 15. | Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 16. | Are all applicable form sections of the CHP 78 completed?  | ⊠ Yes | □No  | □ N/A | Remarks:   |
|     | Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | ⊠ Yes | □No  | □ N/A | Remarks:   |
| 18. | Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?   | ⊠ Yes | □No  | □ N/A | Remarks:   |
|     | Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?  | ☐ Yes | ⊠ No | □ N/A | Remarks: Messages regarding the performance of facility related contractors are sent via e-mail to the Facilities Section. |
| 20. | Are contract amendment request dollar amounts increased more than 30%?   | ☐Yes  | ⊠ No | □ N/A | Remarks:   |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 21. Is the length of the contract amendment request more than one year?   | Yes   | □No  | ⊠ N/A | Remarks: Inland Division has not amended contracts  |
|---|-------|------|-------|---|
| Are amendments requested before the expiration of the original contract?  | ☐ Yes | ☐ No | ⊠ N/A | Remarks:  |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?   | ⊠ Yes | □ No | □ N/A | Remarks: Primarily used by the recruitment unit for question and answer interviews during hiring processes. |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services  | ⊠ Yes | □ No | □ N/A | Remarks:  |
| 26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (14) Plumbing Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | ⊠ Yes | □ No | □ N/A | Remarks:  |

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

| 27  | . Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?  | ☐ Yes | ⊠ No | □ N/A | Remarks: Driver's license checks and fingerprint information is kept on file with the contract. |
|-----|---|-------|------|-------|---|
| 28  | Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | ⊠ Yes | □ No | □ N/A | Remarks:  |
| 29. | Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 30. | Is a log sheet maintained for a diary of activities related to the contract?  | ☐ Yes | ⊠ No | □ N/A | Remarks: A log has been maintained for the HVAC contract only.                                  |
| 31. | Is a computer file prepared for all contracts administered?   | ☐ Yes | ⊠ No | □ N/A | Remarks: Computer files are being held by the Facilities Section for facility repair contracts. |
| 32. | Is a spreadsheet prepared listing all expenditures?   | ☐ Yes | ⊠ No | □ N/A | Remarks:  |
| 33. | Is the notification to the contractor documented for the start date for services to begin?  | ⊠ Yes | □ No | □ N/A | Remarks:  |
| 34. | Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 35. | Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)   | ☐ Yes | □ No | ⊠ N/A | Remarks:  |
| 36. | Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  | ☐ Yes | □ No | ⊠ N/A | Remarks:  |
| 37. | Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 38. | Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)   | ⊠ Yes | □ No | □ N/A | Remarks:  |
| 39. | Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)   | ☐ Yes | ⊠ No | □ N/A | Remarks:  |

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:            | Division: | Chapter: |
|---------------------|-----------|----------|
| Inland Division     | Inland    | Three    |
| Inspected by:       |           | Date:    |
| Sergeant Ron Seldon |           | 1-7-09   |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| additional space is required.                  |                            |  |         |
|--|----------------------------|--|---------|
| TYPE OF INSPECTION  ☑ Division Level ☐ Command | J Level                    | ☐ Corrective Action Plan Included☐ Appeal Included |         |
| ☐ Executive Office Level                       |                            | Attachments Included                               |         |
| Follow-up Required:                            | Forward to:                | Commander's Signature:                             | Date:   |
| ☐ Yes  | Due Date:                  | Par An   | 1/14/00 |
| Chapter Inspection:                            |                            |  |         |
| Inspector's Comments Rega                      | arding Innovative Practice | es:  |         |
| N/A  |                            |  |         |
|  |                            |  |         |
|  |                            |  |         |
|  |                            |  |         |
| Command Suggestions for                        | Statewide Improvement      |  |         |
|  | otatowao improvoment.      |  |         |
| N/A  |                            |  |         |
|  |                            |  |         |
|  |                            |  |         |
|  |                            |  |         |
| Inspector's Findings:                          |                            |  |         |

- 1. Inland Division does not retain any formal letters regarding substandard performance by vendors.
- 2. Contractor performance records are not kept on file at Inland Division. These records are only kept on file at the Facilities Section.
- 3. Logs outlining a record of services provided by contract vendors are not kept with the exception of the HVAC contract.
- 4. No electronic filing system is used for contracts. The hard copies of contracts are held in the paper filing system.

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

| Command:        | Division: | Chapter: |
|-----------------|-----------|----------|
| Inland Division | Inland    | Three    |
| Inspected by:   |           | Date:    |
| Sergeant Ron S  | Seldon    | 1-7-09   |

Page 2

|             |           | <br> |  |
|-------------|-----------|------|--|
| Commander's | Response: |      |  |

#### Inspector's Comments:

- 1. Inland Division will create a system of describing any problems associated with contract vendors in a formal letter in addition to utilizing e-mail to make notifications to the commander and Headquarters.
- 2. Contract performance records are to be kept on file along with each contract.
- 3. Inland Division will ensure logs outlining a record of services provided by contract vendors are utilized.
- 4. An electronic filing system will be created to track past and current contracts.

Required Action

Corrective Action Plan/Timeline

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:        | Division: | Chapter:  |  |
|-----------------|-----------|-----------|--|
| INCONDIDIVISION | INCAND    | 3         |  |
| Inspected by:   | .1        | Date: , , |  |
| // 4            | # 1478 S  | 1/7/09    |  |

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Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

Appeal Review/Decision: (This shall be the only level of appeal).

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

| Lead Inspector's Signature:                    | Date: |  |
|--|-------|--|
| Responding Commander's Signature (for appeal): | Date: |  |
|  |       |  |

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Command:            | Division: | Number: |
|---------------------|-----------|---------|
|                     | Inland    | 801     |
| Evaluated by:       |           | Date:   |
| Sergeant Ron Seldon |           | 1-6-09  |
| Assisted by:        |           | Date:   |
| Vonna Broughton     |           | 1-6-09  |

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1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| TYPE OF IN                       | NSPECTION   |   | Lead Inspe | ctor's Signatu  | re:   |   |
|----------------------------------|---|---|------------|-----------------|-------|---|
| ☑ Division Level ☐ Command Level |   |   | $\sim$     | //              |       |   |
| ☐ Execu                          | tive Office Level   | ☐ Voluntary Self-Inspection   | Zalala     |                 | 12    |   |
|                                  | ow-up Required:<br>∕es ⊠ No   | ☐ Follow-up Inspection  | Commande   | er's Signature: | 2     | Date: 1/14/09   |
| For appli                        | icable policy, refer to   | : HPM 11.1, Chapter 23  |            |                 |       |   |
|                                  | re multiple X Numbers<br>o circumvent the \$4,99                          | awarded to the same vendor 9 contract limit?  | ☐ Yes      | ⊠ No            | □ N/A | Remarks:  |
|                                  | oes all X Number file o<br>TD. 204 Payee Data F                           | documentation contain the Record?   | ⊠ Yes      | ☐ No            | □ N/A | Remarks:  |
| la                               |   | g a contract (i.e., janitorial or approval from the Business ander?                   | ⊠ Yes      | □No             | □ N/A | Remarks:  |
|                                  | re X Number requests<br>ervices are performed?                            | made prior to the date the  | ⊠ Yes      | □No             | □ N/A | Remarks: Approval from AC Fields<br>Office is obtained for rare after the<br>fact X-number requests |
| 5. Aı                            | re X Numbers issued f   | or a one-time use?  | ⊠ Yes      | ☐ No            | □ N/A | Remarks:  |
|                                  | re prohibited services umber?   | performed using an X  | ☐ Yes      | ⊠ No            | □ N/A | Remarks:  |
|                                  | re X Numbers used for<br>ervice and not the purc                          |   | ⊠ Yes      | □ No            | □ N/A | Remarks:  |
| re                               | re X Numbers issued f<br>elated services pre-app<br>elecommunications Se  |   | ⊠ Yes      | □No             | □ N/A | Remarks:  |
| (s                               |   | facilities related services<br>ctrical) costing over \$1,000<br>n Facilities Section? | ⊠ Yes      | □ No            | □ N/A | Remarks:  |
| ag                               | o X Numbers issued for<br>greements have prior a<br>ssistant Commissioner | approval by the appropriate   | ☐ Yes      | ⊠ No            | □ N/A | Remarks: Approval is usually granted by the Facilities Section.                                     |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

| Do all X Numbers awarded to a non-small business vendor contain three price quotations?   | ☐ Yes | ⊠ No | □ N/A | Remarks: Emergency repairs are exempt.  |
|---|-------|------|-------|---|
| 12. Do all X Numbers awarded to a small business<br>vendor contain the small business certification from<br>the Department of General Services (DGS)? | ⊠ Yes | □No  | □ N/A | Remarks: As of 6/18/08, Inland<br>Division was reinstructed by the<br>Department's X-number coordinator<br>Norma Killion. |
| 13. Does the file documentation contain the STD. 21<br>Drug Free workplace certification for X Number<br>vendors?                                     | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 14. Do emergency service X Numbers document and justify the emergency?  | ⊠ Yes | ☐ No | □ N/A | Remarks:  |
| 15. Is the itemized invoice for each X Number service maintained in the command's files?  | ⊠ Yes | □No  | □ N/A | Remarks:  |

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:        | Division: | Chapter: |
|-----------------|-----------|----------|
| Inland Division | Inland    | Three    |
| Inspected by:   |           | Date:    |
| Sergeant Ron S  | Seldon    | 1-6-09   |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| TYPE OF INSPECTION       |                             | ☐ Corrective Action Plan Included |                 |
|--------------------------|-----------------------------|-----------------------------------|-----------------|
| ☐ Division Level ☐ Comma | nd Level                    | Appeal Included                   |                 |
| ☐ Executive Office Level |                             | Attachments Included              |                 |
| Follow-up Required:      | Forward to:                 | Commander's Signature:            | Date:           |
| ☐ Yes        No          | Due Date:                   | Refle                             | 1/14/09         |
| Chapter Inspection:      |                             |                                   |                 |
| Inspector's Comments Re  | garding Innovative Practice | es:                               | A Chamberla Wes |
| N/A                      |                             |                                   |                 |
| Command Suggestions fo   | r Statewide Improvement:    |                                   |                 |
| N/A                      |                             |                                   |                 |
| Inspector's Findings:    |                             |                                   |                 |

- 1. It was determined that the approval granted for repairs conducted after contract expiration dates were obtained from the appropriate Facilities Section coordinator assigned to Inland Division.
- 2. Prior to June 18<sup>th</sup>, 2008, small business certification forms were not obtained from certified small businesses. Inland Division was reminded to collect these certification forms on all transactions involving certified small businesses by the Department X- number coordinator, Norma Killion of the Business Services Section.

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:            | Division: | Chapter: |
|---------------------|-----------|----------|
| Inland Division     | Inland    | Three    |
| Inspected by:       |           | Date:    |
| Sergeant Ron Seldon |           | 1-6-09   |

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| Commander's Response: |  |
|-----------------------|--|
|                       |  |

#### Inspector's Comments:

1. Inland Division will ensure all X-number services awarded to small businesses will complete a small business certification form to be kept on file.

#### **Required Action**

Corrective Action Plan/Timeline

#### **COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT**

| Command:        | Division: | Chapter:  |  |
|-----------------|-----------|-----------|--|
| INLAND DIVISION | IN(Mi)    | 3         |  |
| Inspected by:   |           | Date: / / |  |
| R. SELDON #     | 14785     | 1/6/09    |  |

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| Appeal Process: | (Appeals shall be filed within five (5) business days of the completed chapter inspection). |  |
|-----------------|---|--|
| Commander's Ba  | sis for Appeal:   |  |

Appeal Review/Decision: (This shall be the only level of appeal).

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Lead Inspector's Signature:                    | Date: 1/6/09 |
|--|--------------|
| Responding Commander's Signature (for appeal): | Date:        |
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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| Command:<br>Inland Division     | Division:<br>Inland | Number:         |
|---------------------------------|---------------------|-----------------|
| Evaluated by:<br>Sergeant Ron S | eldon               | Date: 1-7-09    |
| Assisted by:<br>Joette Wilson   |                     | Date:<br>1-7-09 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Command Level Division Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Date: Commander's Signature: Follow-up Required: ☐ Follow-up Inspection ⊠ No ☐ Yes For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: command level familiar with the related policies and ✓ Yes □ No □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: □ N/A ⊠ Yes procurement training? 3. Are prohibited items procured on CHP 43, Purchases Remarks: ☐ Yes ⊠ No □ N/A Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from □ No □ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: □ N/A ✓ Yes □No Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: □ N/A consecutively, starting anew at the beginning of each Yes ☐ No fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: ⊠ Yes ☐ No □ N/A forwarded to the Assistant Commissioner, Staff, for approval?

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 8.  | Do specialized items purchased contain the appropriate Division, and/or OPI approvals?  | ⊠ Yes | <sup>□</sup> No | □ N/A | Remarks:                                 |
|-----|---|-------|-----------------|-------|--|
| 9.  | Are the CHP 43, Purchase Requisitions, competitively bid?   | ⊠ Yes | □No             | □ N/A | Remarks:                                 |
| 10. | Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?   | ⊠ Yes | □No             | □ N/A | Remarks:                                 |
| 11. | Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?   | ⊠ Yes | □ No            | □ N/A | Remarks:                                 |
| 12. | Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?  | ⊠ Yes | □ No            | □ N/A | Remarks:                                 |
| 13. | Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?  | ⊠ Yes | □ No            | □ N/A | Remarks:                                 |
| 14. | Are items checked immediately for content and damage when delivered?  | ⊠ Yes | □No             | □ N/A | Remarks:                                 |
| 15. | Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted? | ⊠ Yes | □ No            | □ N/A | Remarks:                                 |
| 16. | Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?   | ⊠ Yes | □ No            | □ N/A | Remarks:                                 |
| 17. | Is FMS provided a photocopy of the purchase order<br>and any approved freight or packing slips as<br>acknowledgement that a portion of the order has<br>been received?                                      | ⊠ Yes | □ No            | □ N/A | Remarks:                                 |
|     | Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?  | ⊠ Yes | □No             | □ N/A | Remarks:                                 |
| 19. | Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?  | ☐ Yes | ⊠ No            | □ N/A | Remarks: Damaged items are not accepted. |
|     |   |       |                 |       |  |

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

| 20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared? | ☐ Yes | □No  | ⊠ N/A | Remarks:<br>This has not been done at Inland<br>Division.   |
|--|-------|------|-------|---|
| 21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)   | ⊠ Yes | □No  | □ N/A | Remarks:  |
| 23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)  | ⊠ Yes | □No  | □ N/A | Remarks: Justifications are attached to the purchase order. |
| 24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)  | ☐ Yes | ⊠ No | □ N/A | Remarks:  |

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

| Command:            | Division: | Chapter: |
|---------------------|-----------|----------|
| Inland Division     | Inland    | Three    |
| Inspected by:       |           | Date:    |
| Sergeant Ron Seldon |           | 1-7-09   |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☑ Division Level ☐ Command Level ☐ Appeal Included ☐ Executive Office Level ☐ Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: ☐ Yes ⊠ No Due Date: **Chapter Inspection:** Inspector's Comments Regarding Innovative Practices: N/A Command Suggestions for Statewide Improvement: N/A

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1. There is no separate file kept which include records regarding decision making processes on purchases. All notes regarding purchases are documented on the CHP 43 Purchase Requisition forms.

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

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| Command:                          | Division: | Chapter:     |  |
|-----------------------------------|-----------|--------------|--|
| Inland Division                   | Inland    | Three        |  |
| Inspected by: Sergeant Ron Seldon |           | Date: 1-7-09 |  |

| Commander's Response:  |          |
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| Inspector's Comments:  |          |
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| Required Action  |          |
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| Corrective Action Plan/Timeline  |          |

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

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| Command:         | Division: | Chapter: |
|------------------|-----------|----------|
| INLAND DIVISION  | INLAND    | 3        |
| Inspected by:    |           | Date: ,  |
| R. SELDON #14785 |           | 1/7/09   |

| Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection). |         |
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| Commander's Basis for Appeal:   |         |
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| Annual Deview/Desisions (7)   |         |
| Appeal Review/Decision: (This shall be the only level of appeal).   | -       |
|   |         |

| Lead Inspector's Sighature:                    | Date: 1/7/09 |
|--|--------------|
| Respending Commander's Signature (for appeal): | Date:        |